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ABSTRACT

This 1976 handbook is directed toward all persons occupying positions designated by the Chancellor as being in the unclassified professional service in New York's state university system. It is divided into six major sections: introduction, governance, personnel policies and procedures, benefits, other general policies, and lists of professional staff. Specific details are offered on salaries, affirmative action, terminations, leave, retirement, collective bargaining, research and publications, transfers, health insurance, code of ethics, academic freedom, travel, patent and copyright policy, and administrative organization. (LBH)

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PROFESSIONAL STAFF HANDBOOK

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

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Empire State College
January 1976

This document supercedes previous policy statements relevant to the matters addressed herein. Pursuant to Article X, Section 5(b) of the *Policies*, those policies not specifically covered by the *Policies* of the Board of Trustees, by the laws of the State of New York, or by agreements between the State of New York and the certified employee organization, shall be advisory upon the President. In addition, pursuant to Article IX, Title A, Section 3, the local policies contained herein are subject to the approval of the Chancellor.

DEFINITIONS

1. Professional Staff - All persons occupying positions designated by the Chancellor as being in the unclassified (professional) service.
2. Professional Employee - Any employee in the Professional Services Negotiating Unit other than an employee with academic or qualified academic rank.
3. Academic Staff - The staff comprised of those persons having academic rank or qualified academic rank.
4. Academic Rank - Rank held by those members of the professional staff having the title of Professor, Associate Professor, Assistant Professor, Instructor, Librarian, Associate Librarian or Assistant Librarian.
5. Qualified Academic Rank - Rank held by those members of the professional staff having the title of Lecturer, or titles of academic rank preceded by the designation Visiting.

FOR FURTHER INFORMATION

<u>Document Title</u>	<u>Where Available</u>
Policies of the Board of Trustees	Personnel
Agreement between the State of New York and the UUP, Inc.	Personnel
Health Insurance for You and Your Dependents	Personnel
Group Insurance Plan for Management/Confidential People	Personnel
Dental Insurance for You and Your Dependents	Personnel
Group Disability Insurance Program for Professional Staff	Personnel
Retirement Programs for New Faculty and Staff	Personnel
Tax-Deferred Annuities	Personnel
Traveler's Guide for Preparation of Travel Accounts Payable from State Funds	Distribution Center (Stock # 06084)

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I. INTRODUCTION

A. STATE UNIVERSITY OF NEW YORK

The State University of New York, established by the State Legislature in 1948, is the largest coordinated, centrally administered, multilevel system of public higher education in the United States. With the exception of the community and senior colleges of the City University of New York, the State University includes all public institutions of higher education in New York State, and its offerings include virtually all areas of general and professional education.

SUNY and other public and private units of higher learning in New York State are responsible to the University of the State of New York, the administrative arm of which is the State Education Department. The Board of Regents, a lay group appointed by the Legislature to supervise and coordinate all levels of public and private educational affairs in the State, governs the University of the State of New York. Within the framework of this authority, the State University operates under the policies of its own Board of Trustees, a lay body appointed by the Governor. Policies of the Board are set forth in the *Policies of the Board of Trustees* (referred to throughout this handbook as the *Policies*). Copies of this document are available to all State University employees for reference on governance, faculty and staff appointments, and general University procedure. It is reissued annually to reflect any policy changes that occur within the calendar year. The Trustees also appoint a Chancellor, who is responsible for the overall administration of the University.

Presently, the State University comprises 64 institutions, which enrolled more than 232,282 full-time and 122,716 part-time students in the fall semester of 1975. These institutions include: four University centers, two of which, Buffalo and Stony Brook, include Health Science Centers; two Medical Centers; 14 Colleges of Arts and Sciences; three specialized colleges; six two-year Agricultural and Technical Colleges; and five statutory colleges. Graduate study at the doctoral level is offered at 13 of these campuses, and at the master's level at 22 campuses. The 34 fully State-supported campuses, although ultimately responsible to the Board of Trustees of the University, are governed by their own college administration. In addition, 30 locally sponsored community colleges of New York are conducted under the program of the State University, but are locally administered by the sponsoring counties. On completion of the associate degree, transfer opportunities for students wishing to continue studying for the baccalaureate degree are provided within the University.

B. EMPIRE STATE COLLEGE

Empire State College (established in 1971), the newest member of the State University complex, is a nonresidential college of Liberal Arts and Sciences, which offers programs leading to the Associate of Arts, Associate of Science, Bachelor of Arts, Bachelor of Science, and Bachelor of Professional Studies degrees. The College is committed to developing alternative approaches to learning; to providing maximum flexibility in response to individual student needs; and to drawing on, rather than duplicating, the existing strengths and resources of the entire SUNY system. The organization and structure of the College reflect these goals.

Empire State College is a single statewide institution with no fixed campus and no fixed schedule. Students study at any of the Learning Centers and Units located strategically throughout the State, and they work—either full-time or part-time—with faculty members largely by individual appointment.

Empire State College degrees are awarded by the Trustees of the State University. The College shares the academic credibility accorded to all units of the State University of New York by its Trustees and by the Board of Regents of the State of New York. Moreover, the Middle States Association of Colleges and Secondary Schools has granted Empire State College full accreditation.

Because of the unique nature of its instructional process, Empire State College requires an expanded definition of a college faculty. To serve a wide variety of students, the College faculty includes full- and part-time mentors and mentor/coordinators, part-time adjunct faculty, tutors, field supervisors, and nonteaching professionals, who work directly with students or with the development of learning resources for students. Many of these persons come from other than academic backgrounds, and many continue to pursue their principal professional or vocational employment and interests while contributing significantly to the College.

In place of traditional educational programs, Empire State College encourages students to develop their own Degree Programs in conjunction with a mentor or other faculty advisor. The Degree Program includes a series of contracts that build on students' educational needs and interests. An individual learning contract may include independent study with a mentor or tutor, field study, an international program, courses taken at other institutions including one or more State University campuses, Independent Study Program guides, modules (developed by the College specifically for individualized academic programs), or any combination of the above that meets the educational standards of the institution.

The mission of Empire State College, in the broadest sense, is to devise high-quality alternative modes of education for the citizens of New York State. Emphasizing its role as a guide and coordinator, Empire State College brings to students the many excellent resources of the State, and so maintains the flexibility and openness to student initiative on which effective learning depends.

1. Coordinating Center. The overall operation of the various locations is coordinated by a college administration located in Saratoga Springs.

2. Learning Centers. The Learning Centers are designed as meeting places for faculty and students and as resource centers, where the many educational opportunities of a given area are coordinated. Centers are staffed by administrators (including a Dean, Associate Dean and Assistant Dean), and a full range of liberal arts and sciences mentors; a large number of part-time mentors, adjunct faculty, and tutors in specialized subjects complement the core faculty. Units are smaller learning components attached administratively to a learning center. They are established in response to specific needs and for specific groups. The Center for Statewide Programs, coordinated by a Dean and two Associate Deans in Saratoga Springs, consists of small units spread throughout the entire State.

3. Special-Purpose Programs. The Center for Labor Studies in New York City is designed to give an opportunity to working people, especially labor-union members, to pursue an undergraduate education while adding to or improving their skills in labor-union affairs and using their life experience in studying contemporary political, economic, or social problems.

The New Models for Careers program, attached to the Lower Hudson Regional Center at Suffern, is a demonstration program designed to create new educational models in four career areas: allied health, human services, business, and engineering technology. The models will make it possible for students in these career areas to advance toward their associate or baccalaureate degree, to improve their skills, to broaden their personal horizons, or to obtain stronger qualifications for advancement in their current employment.

4. An organizational chart of the College is attached as Appendix I.

C. LOCATIONS OF EMPIRE STATE COLLEGE

Empire State College
Coordinating Center
2 Union Avenue
Saratoga Springs, New York 12866
(518) 587-2100

I. GENESEE VALLEY REGIONAL CENTER

Empire State College
Genesee Valley Regional Center at Rochester
8 Prince Street
Rochester, New York 14607
(716) 244-3641

Empire State College
Genesee Valley Regional Center at Canandaigua
Suite B202
Community College of the Finger Lakes
Canandaigua, New York 14424

Empire State College
Genesee Valley Regional Center at Ithaca
405 South Albany Street
Ithaca, New York 14850
(607) 273-5442

II. CENTER FOR LABOR STUDIES

Empire State College
Center for Labor Studies
Administrative Offices
253 West 26th Street
New York, New York 10001
(212) 691-8559

Empire State College
Center for Labor Studies at Manhattan
New York State Department of Labor
2 World Trade Center
New York, New York 10047

Empire State College
Center for Labor Studies at Hicksville
New York State Department of Labor
303 Old West Country Road
Hicksville, New York

III. LONG ISLAND REGIONAL CENTER

Empire State College
Long Island Regional Center at Old Westbury
P. O. Box 130, Trainor House
Old Westbury, New York 11568
(516) 997-4700

Empire State College
 Long Island Regional Center East at Stony Brook
 c/o Health Science Center
 SUNY at Stony Brook
 Stony Brook, New York 11794
 (516) 997-4700

Empire State College
 Long Island Regional Center at Hauppauge
 New York State Office Building
 Third Floor
 Veterans Memorial Highway
 Hauppauge, New York 11787
 (516) 997-4700

Empire State College
 Long Island Regional Center at Creedmoor
 Creedmoor Psychiatric Center
 8045 Winchester Boulevard
 Queens Village, New York 11427
 (516) 997-4700

Empire State College
 Long Island Regional Center at Central Islip
 Central Islip Psychiatric Center
 Central Islip, New York 11722
 (516) 997-4700

Empire State College
 Long Island Regional Center at Suffolk Head Start
 244 East Main Street
 Patchogue, New York 11772
 (516) 997-4700

Empire State College
 Long Island Regional Center at Clearwater
 North Shore University Hospital
 300 Community Drive
 Manhasset, New York 11030
 (516) 627-5566, Ext. 230

IV. LOWER HUDSON REGIONAL CENTER

Empire State College
 Lower Hudson Regional Center at Suffern
 145 College Road
 Suffern, New York 10901
 (914) 356-6406

Empire State College
 Lower Hudson Regional Center at Suffern
 New Models for Careers Education
 145 College Road
 Suffern, New York 10901
 (914) 356-6406

Empire State College
 Lower Hudson Regional Center at Purchase
 SUC at Purchase
 Anderson Road
 Purchase, New York 10577
 (914) 253-5198

Empire State College
 Lower Hudson Regional Center at Middletown
 Orange Community College
 Commons Building, 2nd Floor
 Middletown, New York 10940
 (914) 343-1121

Empire State College
 Lower Hudson Regional Center at Yorktown Heights
 BOCES Campus
 Pinesbridge Road
 Yorktown Heights, New York 14356
 (914) 962-5208

V. METROPOLITAN NEW YORK REGIONAL CENTER

Empire State College
 Metropolitan New York Regional Center at Manhattan
 300 Park Avenue South
 New York, New York 10010
 (212) 677-1000

Empire State College
 Metropolitan New York Regional Center at Bedford-Stuyvesant
 1360 Fulton Street
 Brooklyn, New York 11216
 (212) 783-4400

Empire State College
 Metropolitan New York Regional Center at South Bronx
 1633 Bathgate Avenue
 Bronx, New York 10457
 (212) 992-9100, Ext. 450

VI. NIAGARA FRONTIER REGIONAL CENTER

Empire State College
 Niagara Frontier Regional Center at Buffalo
 Rockwell Hall
 1300 Elmwood Avenue
 Buffalo, New York 14222
 (716) 862-4938, 862-4724

VII. NORTHEAST REGIONAL CENTER

Empire State College
 Northeast Regional Center at Albany
 135 Western Avenue
 Albany, New York 12203
 (518) 445-6311

VIII. CENTER FOR STATEWIDE PROGRAMS

Empire State College
 Center for Statewide Programs
 Administrative Offices
 2 Union Avenue
 Saratoga Springs, New York 12866
 (518) 587-2100

Empire State College
 Center for Statewide Programs at Binghamton
 44 Hawley Street
 Binghamton, New York 13901
 (607) 773-7738

Empire State College
 Center for Statewide Programs at Manhattan
 Urban Study Unit
 235 East 49th Street
 New York, New York 10017
 (212) 421-7050

Empire State College
 Center for Statewide Programs at Mid-Hudson
 22 Southside Avenue
 New Paltz, New York 12561
 (914) 257-2295

Empire State College
 Center for Statewide Programs at North Country
 123 Hawkins Hall
 SUC Plattsburgh
 Plattsburgh, New York 12901
 (518) 564-2837

Empire State College
 Center for Statewide Programs at Onondaga
 State University College of Environmental Science and Forestry
 Syracuse, New York 13210
 (315) 473-8911

and

Hutchings Psychiatric Center
 650 Madison Street
 Syracuse, New York 13210
 (315) 473-6860

Empire State College
 Center for Statewide Programs at Saratoga
 2 Union Avenue
 Saratoga Springs, New York 12866
 (518) 587-2100

Empire State College
 Center for Statewide Programs at Utica
 811 Court Street
 Utica, New York 13502
 (315) 792-3415

II. GOVERNANCE

A. INTRODUCTION

A fully State-supported institution of the State University, Empire State College is responsible to the University's Board of Trustees. The Board's authority is vested in Empire State College's President through the Chancellor of the University. A nine member College Council, composed of lay members appointed by the Governor, acts as an advisory board to the President and Chancellor. This Council, under the provisions of Section 356 of the Education Law, carries responsibilities for the operational affairs of the College subject to the general management, supervision, and control, of and in accordance with rules established by the State University Trustees.

The President of Empire State is ultimately responsible for the governance of the College within the framework provided by the *Policies*. Such internal bodies as the College Senate and the Administrative Council act in an advisory capacity to the President.

B. BYLAWS

With the adoption of Bylaws by the College professional staff, and by the President's approval and acceptance on 11 December 1973, the College has had a functioning governance mechanism as required by the *Policies*. A copy of the College Bylaws as amended is attached as Appendix IIA. The list of current College Senators and Standing Committee members is attached as Appendix IIB.

In addition, several Learning Centers have adopted local Bylaws that have been approved by the President. If you wish a copy please ask the appropriate Dean.

C. ADMINISTRATIVE COUNCIL

The Administrative Council consists of senior administrative offices of the College. The Council meets at the call of the President for the purpose of advising the President. For a list of the members of the Administrative Council see Appendix IIC.

D. ADMINISTRATIVE CABINET

The Cabinet is a special advisory group that helps in the formulation of institutional academic, fiscal, personnel, and facilities policies in consultation with appropriate external groups, heads of operating and service groups, and through governance mechanisms with the College community. A list of members of the Cabinet is found in Appendix IID.

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Procedures on appointments, promotions, increments, leaves, terminations, retirement, and transfer are governed by the latest edition of the *Policies*, and the Bylaws of Empire State College; and they are covered by the latest edition of the Agreement between the State of New York and the UUP, Inc. Copies of the *Policies* and Agreement may be obtained from the Personnel Office. The Bylaws are attached as Appendix IIA.

It is incumbent on each unit of the State University of New York to conform to the *Policies* and Agreement, to establish policies of its own in all those areas left to its discretion, and to devise proper means of implementing both categories of policy.

A. DEFINITIONS

A definition of terms relating to professional titles and organizations is provided in Article II of the *Policies* and in Article III of the UUP Agreement. The term "professional staff" will be used throughout this Handbook to designate all those employees of the College who serve in administrative and/or teaching roles and are not members of the Classified Service. The professional teaching staff at Empire State College includes management, management/confidential, professional employees with teaching responsibilities and academic staff, part-time mentors, adjuncts, and tutors. *It is important to note that in general full-time professional staff at Empire State College are employed on a calendar-year basis.*

B. APPOINTMENT OF PROFESSIONAL STAFF

1. Initial Appointment (Other than Adjuncts and Tutors)

The administrative procedures for initial appointments are as follows: affirmative action procedures are implemented; initial screening and gathering of pertinent materials on candidates occur at the Learning Center or at the Coordinating Center; the *vitae* of the best candidates are circulated. Selected candidates are invited for interviews following appropriate consultation. The Dean or Supervisor recommends one or more candidates to the appropriate Vice President. In the case of faculty appointments, recommendations go to the Vice President for Academic Affairs; for professional employee appointments, recommendations go to the Vice President for Administration; for administrative appointments, recommendations go to the Executive Vice President. Upon recommendation, selected candidates are invited to the Coordinating Center for interviews; the Vice Presidents as appropriate make recommendations to the President as informed by the earlier recommendations and the comments made by various interviewers. Only the President or the Executive Vice President may make an offer to the candidate. Rank, where applicable, and salary are determined by the criteria below in the context of budgetary limitations.

Appointments of college administrative officers and professional staff at annual base salaries of under \$18,001 shall be made by the President of the college and shall be reported to the Chancellor. Appointments of such persons at annual base salaries of \$18,001 through \$24,000 shall be made by the Chancellor, after receiving the recommendation of the President; the Chancellor shall report such appointments to the Board of Trustees. Appointments of administrative officers at annual salaries of \$24,001 or more shall be made by the Board of Trustees, after receiving the recommendation of the Chancellor. The Chancellor makes recommendations after receiving the recommendation of the President of the college.

Initial full-time appointments normally end on June 30. All other appointments normally begin July 1 and end on June 30 following the appointment.

a. Academic Staff

(1) Policy for Appointment in Rank

Because all appointments are contingent upon budgetary support, meeting the minimum requirements in rank does not require appointment at a particular level or insure promotion to another level. A highly qualified person may be appointed to a rank initially requiring fewer qualifications if budgetary support is available only at that rank. The College may also wish to employ and promote persons whose special talents or background require a different basis for judgment; these guidelines are not meant to preclude such decisions or to discourage such applicants.

(a) *Instructor*. Highly promising appointees at the entry level who have or who show progress toward a terminal degree or who demonstrate competence or special talents, but have limited instructional experience.

(b) *Assistant Professor*. At least five years of successful full-time instructional experience at an accredited institution of higher education in a position of Instructor or its equivalent, or

An appropriate terminal degree in an academic discipline or area, and two years of full-time instructional experience in higher education. Teaching undertaken as a graduate assistant or fellow are not normally considered as adequately demonstrating the appointee's independent effectiveness in teaching. Other qualifications that reflect competence, knowledge, experience, and achievement of similar stature can be recognized for appointment at this level.

(c) *Associate Professor*. Initial appointment at this rank is made only in recognition of substantial previous teaching effectiveness and high competency in a subject area or discipline. Consequently, the College normally expects an appointee to have at least:

- five years of successful instructional experience at an accredited institution of higher education in a regular position of Assistant Professor or its equivalent;
- documentation or evidence demonstrating high teaching competence;
- academic excellence as defined by professional peers and holding of an appropriate terminal degree.

Other evidence of competence, achievement, and excellence can be recognized for appointment at this level.

(d) *Professor*. Initial appointment at this rank is made only in recognition of superior program teaching effectiveness and the highest competence in a subject area or discipline. Consequently, the College normally expects an appointee to have:

- highly successful instructional experience at the Associate Professor rank for at least five years;
- demonstration of a capacity to provide leadership in effective teaching/learning situations;
- continued peer recognition of academic excellence.

Other evidence of effective leadership and performance at the highest level can be recognized for appointment at this level.

(2) Types of Appointment

(a) *Term Appointments*. Initial academic staff term appointments are normally made under the *Policies*, Article XI, Title D, Section 1, for periods of one, two, or three years. Initial

academic staff term appointments will normally be for less than one year to allow for phasing into the regular appointment year (July 1 - June 30). If an initial appointment begins after December 31 but before July 1, it shall be a qualified rank appointment to allow for appropriate sequencing of continuing appointment recommendations.

(b) *Temporary Appointments.* Temporary appointments are given to adjuncts and all part-time mentors. In addition, temporary appointments may occasionally be given initially as special probationary appointments and may be given to persons whose positions are supported by grant funds. Temporary appointments may be terminated at any time according to *Policies*, Article XI, Title F, Section 1.

(c) *Qualified Academic Rank Appointments.* Visiting appointments, regardless of whether they are term or temporary, are normally given initially to persons who hold continuing appointment and/or rank above Assistant Professor at another institution, or persons who are on leave from other than educational institutions. Service in a qualified rank is not counted toward the time requirements for continuing appointment. This enables the College and the individual to make an extended and high-level appointment decision regarding further employment on the basis of significant experience. Qualified rank is also used for persons whose positions are supported by grant funds.

(d) *Continuing Appointments.* Continuing appointments are appointments to an academic rank that shall continue until resignation, retirement, or termination in accordance with the *Policies*, Article XI, Title B, Section 1 and Article XIV, Title D, Termination for Cause. All and only term and temporary appointments at academic rank that are full-time on state lines are counted toward the minimum requirements for continuing appointment. According to the *Policies*, academic rank includes only the following categories: Professor, Associate Professor, Assistant Professor, and Instructor.

b. Professional Employees

(1) Policies for Appointment

Professional employee shall mean an employee in the Professional Services Negotiating Unit, other than employee with academic or qualified academic rank. Positions are allocated to four professional ranks (PR 1-4) established by SUNY, and those in such positions may hold concurrent academic rank and/or do some mentoring.

Supervisors are responsible for conducting the search for vacant positions and for making appropriate recommendations to the Vice President for Administration. Searches are job specific.

(2) Type of Appointment — Temporary

A person who is appointed to a professional title in which that person may be granted permanent appointment or to a title listed in Appendix A of Article XI of the *Policies* must be granted a temporary appointment for the first year of such employment in the University. A temporary appointment may be terminated at any time.

c. College Administrative Officers

(1) Designation

In accordance with the *Policies* the President may appoint such college administrative officers as may be determined by the Chancellor, after receiving the recommendation of the chief administrative officer of the college.

(2) Duties

College administrative officers shall have such powers, duties, and responsibilities as may be assigned by the chief administrative officer of the college.

(3) Appointment

Appointments covered by the *Policies*, Article IX, Title B, shall be at the pleasure of the chief administrative officer of the College. Recommendation for appointment of academic officers such as Vice President for Academic Affairs, academic Deans, and others with similar responsibilities shall be made after consultation with the faculty.

2. Subsequent Appointments

Making decisions regarding renewal of term appointments and contract extensions for temporary appointments is the responsibility of the President of Empire State College. University-wide procedures and criteria for promotion and evaluation of academic staff and professional employees are outlined in the *Policies* in Article XII, Title A and Title B, respectively.

a. Academic Staff

The close working relationships among Learning Center academic staff members and administrators provide numerous occasions for exchange concerning effectiveness of work with students and general contributions to Learning Center activities. It is the expectation of the College that supervisors and academic staff meet periodically to discuss past performance and plans for the future. These discussions, written recommendations by academic staff, and other less formal exchanges provide an ongoing framework within which the issues of reappointment can be reviewed.

Term appointments begin a probationary period during which academic staff members have an opportunity to demonstrate their excellence and establish a solid base for being considered for a continuing appointment. Reappointment decisions are made in this probationary context. They must be made on a thorough and objective basis. Wherever possible terms are adjusted for a July 1 - June 30 cycle. In general:

- initial academic staff appointments shall be for one year or less.
- appointment for a second term shall be for one year.
- subsequent appointments shall be for two years.

Exceptions which provide two or three year appointments for the second term or three years for the third term will be based on substantial evidence of superior performance. In some cases a third one year term may be given because of the timing of the faculty member's candidacy for continuing appointment or because of a shift in location or responsibility within the College. In the absence of such considerations, the granting of a third one year term is an indication of questionable performance. In such cases there should be clear justification for continuation rather than non-renewal based on evidence which supports an expectation of improved performance.

(1) Term Appointments

(a) *Criteria.* The *Policies* specify five general areas for evaluation in relation to promotion. These five areas are also consequently among those to which Empire State College gives significant consideration for reappointment decisions. According to the *Policies* (Article XII, Title A, Section 1) among the qualities to be considered in academic staff evaluations are:

- Mastery of subject matter—as demonstrated by such things as advanced degrees, licenses, honors, awards, and reputation in the subject matter field.
- Effectiveness in teaching—as demonstrated by such things as judgment of colleagues, development of teaching materials or new courses, and student reaction.

- Scholarly ability—as demonstrated by such things as success in developing and carrying out significant research work in the subject matter field, contribution to the arts, publications, and reputation among colleagues.
- Effectiveness of University service—as demonstrated by such things as successful committee work, participation in local and University governance, administrative work, and work with students or community in addition to formal teacher-student relationships.
- Continuing growth—as demonstrated by such things as reading, research, or other activities to keep abreast of current developments in one's field and being able to handle successfully increased responsibility.

(b) *Procedures.* Empire State College's current policies and procedures reflect those of the *Policies* regarding presidential consultation in the renewal of term appointments of academic staff members. Renewal of term appointments may be for successive periods of not more than three years each. These requirements of the *Policies* are fulfilled according to the following procedures.

- The Dean of each Learning Center receives recommendations from academic staff members or Learning Center Committees and, where possible and appropriate, consults more widely with other members of the academic community concerning academic staff members for whom appointment decisions must be made.
- The Dean transmits a recommendation concerning appointment to the Academic Personnel Committee and the Vice President for Academic Affairs.
- The Vice President for Academic Affairs receives recommendations from the Academic Personnel Committee, adds recommendations, and transmits these, together with the Deans' recommendations, to the President for final decision.

Since the dates by which academic staff members must be notified concerning reappointment vary according to length of service, these procedures will take place at various times during the calendar year. Assuming that the appointments end in June, July, or August, these dates are as follows: up to one year of service—March 1; from one to two years of service—December 15; after two or more years of service—one year prior to end of current term. Prior to each notification deadline, the Center Dean notifies the academic staff in writing concerning the mentors for whom reappointment decisions must be made and requests independent recommendations by a specific date.

The Vice President for Academic Affairs exercises both quality and budgetary control by review of the personnel recommendations of the Deans. The Vice President acts as a critical reviewer and recommender based on the information received and by such additional analyses as may be necessary. Reappointment can result only from positive action by the Office of the President. A presidential decision is based on the analyses and recommendations of the Dean and the Vice President, and upon such other analyses and consultation as may be judged necessary.

In matters of reappointment, the President's decisions will not be accompanied by supporting justifications or reasons. Under some circumstances an academic staff member who has not been granted tenure has the right to request reasons. The operating principle, as stated in the *Policies*, is that a term appointment carries no presumption of additional appointment beyond that term, and that written notification of non-renewal within the time requirements specified by the *Policies* fulfills the institution's responsibilities.

After the President has made a decision, upon request, the Center Dean or the Vice President for Academic Affairs, or both, have responsibility to tell a candidate what their recommendation was in that candidate's case. As a matter of course, letters of notification will be sent to everyone who is eligible for reappointment.

(2) Continuing Appointments

(a) *Criteria.* The President, and the persons and groups with whom the President consults, will give consideration to qualities of the candidate which include those specified by the *Policies* for promotion. Criteria for both Learning Center decisions and for any recommendations made by the Academic Personnel Committee shall be guided also by the criteria for promotion contained in the *Policies*. These criteria shall be interpreted within the context of Empire State College. (See *Criteria*, pp. 14-15).

After considering the recommendation of the President of the College, the Chancellor of State University of New York "may grant continuing appointment to such persons who, in his judgment, are best qualified." (*Policies*, Article XI, Title B, Section 2.)

(b) *Procedures—Administrative.* In preparing recommendations to the Chancellor, the President of the College shall consult with appropriate persons and groups. These will normally include:

- the academic staff of the administrative unit to which the candidate is currently assigned. Normally, this consultation will be done by the transmittal to the Vice President of Academic Affairs of the recommendation by the academic staff or its committee to the Academic Personnel Committee.
- the Academic Personnel Committee.
- the administrative head of the administrative unit to which the candidate for continuing appointment is currently assigned.
- the Vice President for Academic Affairs.
- other groups or persons, selected by the President, who are qualified to judge the qualifications of the candidate in accordance with the criteria stated.

(c) *Procedures—Academic Staff Recommendations*

- Each Center shall select a committee which shall make a recommendation concerning individual tenure cases. The Centers are free to establish their own rules of procedure for the operation of the Committee and the relationship between the Committee and the Center academic staff. The Center shall publish its procedures before they are implemented and shall forward a copy to the Academic Personnel Committee. They are subject to the approval of the President.

Normally, not less than 120 days or more than 180 days before a mandated decision on continuing appointment for an Empire State College academic staff member, a questionnaire will be sent to the candidate by the Academic Personnel Committee. At any time prior to the mandated process, an academic staff member may request voluntary consideration and submit an application, but may do so only one time except on appeal to the Academic Personnel Committee for a review on the basis of substantial new evidence.

- Normally, the Academic Personnel Committee will (a) acknowledge the receipt of the questionnaire; (b) notify the chairperson of the Center's personnel committee and/or the Center's evaluation secretary, and invite the Center's recommendation for or against continuing appointment; (c) notify by memorandum or newsletter the entire professional staff of Empire State College and invite responses.
- The Center decision with supporting documentation shall be forwarded to the Academic Personnel Committee for transmittal to the Vice President for

Academic Affairs. The Academic Personnel Committee may, if it wishes, make a recommendation concerning any individual case but must forward the recommendation and evidence supplied by the Center.

- Wherever reasonable and possible the chairperson of the Academic Personnel Committee will notify the candidate of the Academic Personnel Committee's decision. If the Center's procedures so stipulate, the chairperson of the Academic Personnel Committee will also concurrently notify the chairperson of the Center's personnel committee or the evaluation secretary at the Center.

Upon receipt of notification the candidate may request a meeting with the Academic Personnel Committee (or an appeals committee of the Academic Personnel Committee) within the next 10 days. The Academic Personnel Committee's final recommendation to the Vice President for Academic Affairs will be forwarded at least six weeks prior to the mandated decision date, unless delayed by circumstances which legitimately prevent this calendar; or within 110 days of the start of the voluntary submission.

- For individuals who have served at more than one Center, each such Center shall submit a recommendation to the Academic Personnel Committee.

b. Professional Employees

Professional employees are initially given a probationary period during which time they have the opportunity to demonstrate their abilities and to establish a solid base for being considered for subsequent appointments. The college considers effectiveness in performance to be the *sine qua non* of reappointment decisions made in this context. Such decisions must be on a thorough and objective basis. Wherever possible subsequent terms are adjusted for a July 1-June 30 cycle.

All professional employees must have a written performance program and be evaluated in writing at least once a year. (Performance Review and Evaluation: See Appendices IIIA and B.) (The *Policies* require that "evaluation shall be based on a performance program," and consequently these documents will be considered when decisions are being made on subsequent appointments.) Before completing the formal Performance Program immediate supervisors, whose responsibility it is to develop a program, are required to meet with the employee for the purposes of discussing the Performance Program. The supervisor should prepare a draft of the Program, which should be the basis of the discussion between the supervisor and the employee involved.

(1) Term appointments

(a) *Criteria.* The *Policies* specify five general areas to be among those considered in relation to evaluation. These five areas are also consequently among those to which Empire State College gives significant consideration for reappointment decisions. According to the *Policies* "the [following] criteria and examples thereof are presented for descriptive and explanatory purposes only and are in no way intended to be all inclusive or to limit the immediate supervisor in his determination of appropriate criteria for promotion and evaluation." (Article XII, Title B, Section 4.)

- Effectiveness in performance - as demonstrated, for example, by success in carrying out assigned duties and responsibilities, efficiency, productivity, and relationship with colleagues.
- Mastery of specialization - as demonstrated, for example, by degrees, licenses, honors, awards, and reputation in professional field.
- Professional ability - as demonstrated, for example, by invention in professional, scientific, administrative, or technical areas; i.e., development or refinement of programs, methods, procedures, or apparatus.

- Effectiveness in University service - as demonstrated, for example, by such things as successful committee work, participation in local campus and University governance, and involvement in campus or University related student or community activities.
- Continuing growth - as demonstrated, for example, by continuing education, participation in professional organizations, enrollment in training programs and research.

(b) *Procedures.* Once the Performance Program has been provided to the employee and placed in the employee's personnel file, the supervisor still has the right to assign, modify, or delete duties; and the employee has the right to request same. This duty is added to the Program by the same procedures as used in completing the original Program.

Based on the Performance Program, each professional employee must be given a yearly, written evaluation. (See Appendix IIIA.) The last evaluation before an employee's Notice of Non-Renewal date, must be given to the employee at least 45 days prior to that date. An unsatisfactory rating may be reviewed by the local committee on Professional Evaluation by notifying the appropriate supervisor, the campus President, and the committee in writing within five business days after receipt of the evaluation.

The current Performance Program and the most recent annual evaluation should be filed promptly with the Personnel Office. Any unsatisfactory evaluation may be appealed.

Empire State College's current policies and procedures reflect those of the *Policies* and the agreement between the State and UUP, Inc. in the renewal of term appointments of professional employees. Renewals of term appointments may be for successive periods of not more than three years each. These requirements are fulfilled according to the following procedures:

- The supervisor will review the professional employee's past performance and will issue a formal written evaluation forty-five days prior to the notification date.
- The supervisor transmits this evaluation in conjunction with the reappointment recommendation to his/her supervisor. Copies of the reappointment recommendation are sent to the Professional Personnel Committee and the Vice President for Administration by the initiating supervisor.
- After receiving recommendations from the PPC, if any, the Vice President for Administration adds his/her own recommendations and transmits these, along with the supervisor's recommendation to the President for final action.

Since the dates by which professional employees must be notified concerning reappointment vary according to length of service, these procedures will take place at various times during the calendar year. Assuming that the appointments end in June, July, or August, these dates are as follows: up to one year of service—March 1; from one to two years of service—December 15; after two or more years of service—one year prior to end of current term.

The Vice President for Administration exercises both quality and budgetary control by review of the personnel recommendations of the supervisors. The Vice President acts as a critical reviewer and recommender based on the information received and by such additional analyses as may be necessary. Reappointment can result only from positive action by the President. The President's decision is based on the analyses and recommendations of the Dean and the supervisors, and upon such other analyses and consultation as may be judged necessary.

In matters of reappointment, the President's decisions will not be accompanied by supporting justifications or reasons. Under some circumstances a professional employee who has not been granted a permanent appointment has the right to request reasons. The operating principle, as stated in the *Policies*, is that a term appointment carries no presumption of additional appointment.

beyond that term, and that written notification of non-renewal within the time requirements specified by the *Policies* fulfills the institution's responsibilities.

After the President has made a decision, upon request, the supervisor or the Vice President for Administration, or both, have responsibility to tell a candidate what their recommendation was in the candidate's case. As a matter of course, letters of notification will be sent to everyone who is eligible for reappointment.

(2) Probationary Appointments

One-year probationary appointments are given when a current employee is appointed to another bargaining unit title. (See *Policies*, Article XI, Title E.) At any time during this probationary appointment the professional employee may elect or be required to return to the employee's former title.

(3) Five Year Term Appointments

Five year term appointments are appointments which may be granted only to persons who serve in a professional title listed in Appendix A of Article XI of the *Policies*. Except for their duration, five year term appointments shall be subject to the same procedures for method of appointment, renewal, and notice of non-renewal of term appointments in accordance with the *Policies*.

Therefore, the criteria and procedures for subsequent term appointments are applicable to five year term appointments.

(4) Permanent Appointment

(a) *Criteria.* With the exception of those titles listed in Appendix A of Article XI of the *Policies*, further employment of a professional employee who has completed two consecutive years of full-time service at a campus of the University in the professional title to which permanent appointment may be granted and who has completed seven consecutive years of full-time service at a campus of the University as a professional employee must be on the basis of a permanent appointment in such professional title.

Satisfactory full-time prior service in a professional bargaining unit title at any SUNY campus shall be credited, up to a maximum of three years, toward permanent appointment.

The criteria for granting a permanent appointment are the same as those used for promotion and renewal of term.

(b) *Procedure.* The procedure for granting a permanent appointment is the same procedure which is used for considering a renewal of term appointment. However, if the President's decision is not to recommend a permanent appointment to the Chancellor, at the request of the professional employee the President must advise the employee of the reasons. Only the Chancellor has the authority to grant a permanent appointment.

c. College Administrative Officers

Persons appointed pursuant to Article IX, Title B of the *Policies* shall serve at the pleasure of the chief administrative officer of the College.

3. Promotions

a. Academic Staff

(1) Criteria

The criteria used in making judgments about promotion are listed above. (See Criteria, pp. 14-15.)

(2) Procedures

The steps listed below give deadline dates. When academic staff are under consideration in more than one category, e.g., renewal and promotion, it makes sense to consider both issues at once even though the deadline dates may be different. In such a case the earlier set of deadline dates should be followed.

- After consultation with academic staff and other appropriate individuals and groups, Deans' nominations are sent to the Vice President for Academic Affairs on or before March 1 with copies to the Academic Personnel Committee.
- After receiving recommendations from and consulting with appropriate individuals and groups, including the Dean, the Center Personnel Committee, and the Academic Personnel Committee, the Vice President for Academic Affairs makes a recommendation to the President by June 1.
- Academic staff who have been nominated for promotion receive notification by June 30.

b. Professional Employees

(1) Criteria

The criteria used in making judgments about promotion are listed above. (See Criteria, p. 17.)

(2) Procedures

Promotion shall mean an increase in a professional employee's basic annual salary without a change in title by movement within rank or to a higher rank, or with a change in title within rank or to a higher rank resulting from a permanent significant increase or change in duties and responsibilities as a consequence of a permanent increase in the scope and complexity of function of one's position. A complete outline of the promotion appeal procedure follows:

- Any professional employee may initiate a promotion appeal by obtaining a Promotion Appeal Form from the Campus Personnel Office or from members of the Promotion Review Panel.
- The completed form must be submitted to the Promotion Review Panel for review. The appellant may submit additional information if he or she chooses.
- Upon receipt of an appeal, the Promotion Review Panel should forward a copy of the Promotion Appeal, together with the Supervisor's Comment Sheet, to the appellant's immediate supervisor for completion. Copies of all evaluative commentary prepared between immediate supervisors will be forwarded to the appellant.
- The Promotion Review Panel shall review the application for promotion. If the Promotion Review Panel determines that the increase in duties and responsibilities under consideration does not warrant promotion, the Promotion Review Panel shall notify the employee, stating reasons for its decisions. Further appeal from this determination shall not be permitted.

- If the Promotion Review Panel determines that the increase or change in duties and responsibilities warrants promotion, it shall forward its recommendations to the campus President. A copy of the recommendation will be forwarded to the appellant. (The Panel's submission to the President will also include the forms completed by the applicant and the supervisor.)
- If the decision is within his/her discretion, the President may decide whether or not to promote the appellant (i.e., if the promotion can be accommodated within the present PR rank, without reclassification or reallocation).
- The decision by the President will be final, as provided by the Memorandum of Understanding of May 4. However, a decision by the campus President which is claimed by the appellant to be arbitrary and capricious may be appealed on those grounds only to the University Review Board. A copy of such appeal shall be sent to the campus President.
- If the decision to promote is beyond the discretion of the campus President, the President shall forward his/her recommendation together with that of the Campus Promotion Review Panel to the University Review Board. This transmittal shall include the forms completed by the applicant and the supervisor. A copy of the campus President's recommendation, if any, shall be sent to the Promotion Review Panel and the appellant.
- The University Review Board shall consider appeals from decisions of the campus President not to promote which are claimed to be arbitrary and capricious, and shall consider promotions which are beyond the discretion of the campus President.

c. College Administrative Officers

The President may promote those College administrative officers who, in his or her judgment, are best qualified. Such promotions may be to either new positions or within rank.

4. Concurrent Appointments

A concurrent appointment of academic or qualified rank may be held by any professional employee or administrative officer whose qualifications meet the criteria for the academic rank. In cases in which the academic appointment is other than a continuing appointment, the term of the concurrent academic rank normally is the same length of the administrative appointment. Concurrent academic appointments do not count toward continuing appointment.

The Academic Vice President after consultation may recommend concurrent continuing appointments to positions of academic rank for administrative officers of the College to the President. The President may then make such recommendations to the Chancellor consistent with the *Policies*. The Chancellor, after considering the recommendations of the chief administrative officer of the College, may grant continuing appointment to such persons who, in the Chancellor's judgment, are best qualified.

C. PERSONNEL CALENDAR

1. Academic Staff

- January 15: Renewal - Deans send recommendations for March 1 deadline to Vice President for Academic Affairs (VPAA) with copies to Academic Personnel Committee (APC).
- March 1: Renewal - President sends notification of renewal or non-renewal to all term appointees who have been with the College less than one year.

- March 1: Promotion - Deadline for nominations for current year. Candidate portfolios are complete. Deans' nominations are sent to VPAA with copies to APC.
- Continuing Appointment - Review of candidates begins in Centers.
- March 15: Continuing Appointment - APC appoints subcommittees.
- April 1: Promotion - Center Committees report their recommendations to APC and VPAA.
- May 1: Promotion - APC's subcommittees complete their reports to APC.
- Continuing Appointment - Subcommittees report their recommendations to APC.
- Deans transmit recommendations to VPAA with copies to APC.
- May 15: Promotions - APC transmits its recommendations to VPAA.
- Continuing Appointment - APC transmits its recommendations to VPAA.
- Renewal - Deadline for Deans' recommendations to VPAA regarding June 30 renewal decisions. Deans send copies to APC.
- May 25: Renewal - APC sends recommendations to VPAA.
- June 1: Promotion, Continuing Appointment, and Renewal - VPAA makes recommendation to the President.
- June 30: Promotion, Continuing Appointment, and Renewal - Academic staff receive notification. Renewal or non-renewal notices are sent to those academic staff on term appointment who will have served two or more years at the expiration of their current appointments.
- November 1: Renewal - Deadline for Deans' recommendations to VPAA for December 15 renewal notification.
- November 15: Renewal - APC recommendations are transmitted to VPAA.
- December 15: Renewal - Notices received by academic staff who at the expiration of the current appointment will have served the College more than one year but not more than two years.

2. Professional Employees

- January 15: Renewal - Deans and supervisors send recommendations for March 1 deadline to Vice President for Administration and to the Professional Personnel Committee. Formal written evaluations are given to professional employees with copies to the Personnel Office and the evaluator's supervisor.
- March 1: Renewal - The President sends the notification of renewal or non-renewal to all term appointees who have been with the College less than one year.
- March 15: Permanent Appointment - Review of candidates by supervisors. List of permanent appointment candidates given to Professional Personnel Committee.

- April 1: Discretionary and Promotional Increases - Deans and supervisors send their recommendations to the Professional Personnel Committee and the VP for Administration.
- May 1: Permanent Appointment - Deans and supervisors transmit recommendations to the VP for Administration with copies to the Professional Personnel Committee.
- Discretionary and Promotional Increases - Professional Personnel Committee sends recommendations to the VP for Administration.
- May 15: Renewal - Deans and supervisors send recommendations to the VP for Administration regarding June 30 renewal decisions. Copies also sent to the Professional Personnel Committee and the employee's personnel file.
- May 25: Renewal - Professional Personnel Committee sends recommendations to the VP for Administration.
- June 30: Renewal, Permanent Appointment, Promotional and Discretionary Increases - Professional employees receive notification from the President's Office. Renewal or non-renewal notices are sent to those professional employees on term appointments who will have served two or more years at the expiration of their current appointments.
- November 1: Renewal - Deans and supervisors forward recommendations to VP for Administration with copies to the Professional Personnel Committee on all those December 15 renewal notification dates. Formal written evaluation is given to all professional employees who have a December 15 notification date.
- November 15: Renewal - Professional Personnel Committee forwards recommendations to VP for Administration.
- December 15: Renewal - Notice is received by professional employees who at the expiration of their current appointments will have served the College more than one but not more than two years.

D. SALARIES

Salary levels are established within State University provisions and are adjusted, for academic staff, to reflect a 12-month obligation. If salary increases are negotiated between UUP and the State of New York, they normally take effect July 1 of each year. In the past, salary increases included an across-the-board increase for all professionals and a selective increase given to a limited number by the President, after consultation, based on considerations of equity and/or merit. Promotional salary increases may also be given. Since salary adjustments are negotiated it is impossible to predict the future trend with certainty.

E. WORKING HOURS, HOLIDAYS, AND CALENDAR

College offices are expected to be open from 8:30 a.m. to 5:00 p.m. weekdays, subject to such modifications as are essential.

Professional staff, including academic staff, obligation extends over a calendar year period. Professional staff receive $1 \frac{1}{4}$ days vacation leave for each month of service up to a maximum of 40 days and $1 \frac{1}{4}$ days of sick leave for each month of service up to a maximum of 165 days.

With the exception of legal holidays, Empire State College is open year round, and all professional staff are compensated accordingly. Following are the legal holidays in 1976 and 1977.

Calendar

<u>1976</u>	<u>1977</u>	
Jan 1	Jan 1*	State Holiday. New Year's Day
Feb. 12	Feb. 11	State Holiday. Lincoln's Birthday
Feb. 16	Feb. 21	State Holiday. Washington's Birthday
Apr. 12-16	Apr. 4-8	No appointment period. (During this time faculty and students do not schedule any appointments.)
May 31	May 30	State Holiday. Memorial Day
June 7-11	June 6-10	No appointment period
July 5	July 4	State Holiday. Independence Day
Aug. 9 - Sep. 3	Aug. 8 - Sep. 2	Professional Development time for faculty.
Sep. 6	Sep. 5	Reading period for students
Oct. 11	Oct. 10	State Holiday. Labor Day
Nov. 2	Nov. 8	State Holiday. Columbus Day
Nov. 11	Nov. 11	State Holiday. Election Day
Nov. 25	Nov. 24	State Holiday. Veterans' Day
Dec. 25*	Dec. 26	State Holiday. Thanksgiving Day
Dec. 27-31	Dec. 26-30	State Holiday. Christmas Day
		No appointment period.

*For holidays that fall on a Saturday the Governor has the option of declaring an alternate day of observance or of granting compensatory time.

F. APPOINTMENT OF ADJUNCT FACULTY

Effective October 1, 1974, adjunct faculty members who will earn less than \$1,000 per year will be paid via New York State Standard Voucher.

- All adjuncts shall be appointed by the Deans, with an appointment letter signed by the Dean.
- Appointments by letter from the Dean must be limited to \$1,000 for each year of service; appointments in excess of \$1,000 must be made by contract in consultation with the Assistant Vice President for Administration.
- All adjunct appointments must be made within the budgetary allocation to each Center and Program.
- One New York State Standard Voucher must be signed by the adjunct faculty for each full or partial calendar month of service prior to beginning employment. Immediately after the vouchers are completed by the adjunct (per instructions in appointment letter) and signed by the Dean, the vouchers and a copy of the appointment letter and resume of the adjunct must be sent to the Assistant Vice President for Administration who will forward copies to the Vice President for Academic Affairs and process the vouchers for payment.
- A full affirmative action search and report will be required if and when an adjunct is considered for a position on Empire State College's full- or part-time academic staff, administration, or as a professional employee.
- This procedure depends upon a clear distinction between mentors (full- or part-time) and adjuncts. Student contracts must have a mentor signature; adjuncts may also sign.

Adjunct faculty who are to receive \$1,000 or more in any twelve-month period may be appointed only subject to the approval of the Vice President for Academic Affairs. Such appointments require the candidate to enter into a contractual agreement with the State of New York. The contract form is included in Appendix IIIC of this Handbook.

G. AFFIRMATIVE ACTION

In order to provide for the effective implementation of the Affirmative Action Plan, the College on May 16, 1974 appointed a full-time Affirmative Action Officer who is directly responsible to the President.

The Affirmative Action Officer is responsible for ensuring that all units of the College adhere to both the specified and intended injunctions of:

The Equal Pay Act of 1963
 Title VII, Civil Rights Act of 1964
 Executive Order 11246 of 1965 as amended by Executive Order 11375
 Title IX
 Executive Law (Human Rights Law), New York State, 1945 and 1970
 The Board of Trustees' Policies and Resolution of June 30, 1971
 The Equal Employment Opportunity Act of 1972

The Affirmative Action Officer has the following duties:

- 1) Advise the President with respect to plans, procedures and other matters pertaining to campus Affirmative Action Policy and Program.
- 2) Lead in the development of Programs, Plans, Procedures and Regulations necessary to formulate and carry out the Program for Affirmative Action.
- 3) Identify areas at the College where problems concerning Affirmative Action exist and assist as required.
- 4) Develop procedures providing for the prompt receipt and investigation of individual complaints of discrimination in employment on the campus, including, but not limited to the role of ombudsman for informal clearing of complaints.
- 5) Participate in the design and implementation of monitoring, record-keeping and auditing systems that will measure effectiveness of campus programs, and determine the degree to which goals are being met.
- 6) Participate in the design and implementation of procedure to evaluate campus personnel operations at regular intervals to assure their conformity with the University's Affirmative Action Policy.
- 7) Serve as liaison between the campus and:
 - a. Enforcement Agencies
 - b. Minority organizations, women's organizations and community action groups concerned with affirmative action and equal employment opportunities.
- 8) Establish such review boards and committees as required to help in the effective performance of assigned duties.
- 9) Stimulate dialogue among minority and women's groups, concerned community groups, administrators, support personnel and members of the academic community.

10) Serve as Title IX Coordinator.

In addition there is a collegewide affirmative action committee with representation from across the College.

H. TERMINATIONS

Procedures governing termination of service at Empire State College conform with those outlined in Article XIV of the *Policies* and the UUP Agreement.

- Title A: Termination at Will
- Title B: Automatic Termination
- Title C: Termination for Age or for Physical or Mental Incapacity
- Title D: Termination for Cause
- Title E: Termination for Retrenchment

(See also Article XIX, Title A. Applicability of *Policies* to Employees in Negotiating Units.)

I. OFF-CAMPUS ASSIGNMENT, CONSULTING, AND LEAVES (OTHER THAN SABBATICAL)

Procedures governing leaves of absence are outlined in Article XIII of the *Policies* and in the UUP Agreement. Again, it should be noted that all professional staff (except in special cases) are considered calendar year employees.

- Title A: Vacation Leave: Calendar Year Employees
- Title C: Sick Leave
- Title F: Other Leaves
- Title G: Disability Leave
- Title I: Limitations
- Title J: Administration

(See also Article XIX, Title A. Applicability of *Policies* to Employees in Negotiating Units.)

Academic staff and professional employees may procure application forms for all types of leave from, and submit them to, the Deans or appropriate administrative offices.

1. General Policy

The College encourages professional development and enrichment through consulting, independent study, independent research, and other appropriate activities. Such activities, however, are regulated by the State of New York Official Compilation of Codes, Rules and Regulations, Title 9, Volume A, Subtitle C, Parts 135 and 136 and as interpreted by State University of New York in an official memorandum on extra service, dated June 1972. Further, the *Policies* stipulate the conditions of leaves, both for professional development and for other reasons.

The following policies are applicable to performance of service beyond that normally required by the professional obligation:

- No member of the professional staff is eligible for payment of overtime.
- Extra service is defined as work by a State employee in a payroll agency other than that to which the employee is regularly assigned. A college is a payroll agency; other agencies are any other state agencies or outside agencies. Authority for approval of such service has been granted to the Chancellor by the Director of the Budget. Responsibility for

action on individual requests has been delegated to the Office of the Vice Chancellor for Personnel and Employee relations.

- The assignment of professional obligation at locations other than where a professional staff member is normally employed may occur only with the approval of the employee's campus president and/or the Chancellor, as appropriate. In no case may a full-time employee of the State University assume another full-time professional or non-professional obligation, either within or without the University, while receiving compensation from the University with or without the approval of the campus president. For academic staff, normally no more than three credit hours shall be permitted on an overload basis, either within or without the University.
- Approval for extra service payments must be requested by submission of form UP-6 prior to the commencement of the service. Service performed in advance of such approval will not be compensated in the event of disapproval of the request.
- Consultation is permitted, but is regulated with reference to the amount of supplemental income earned through consulting activities. (See below).
- Supplemental income earned, including that earned through consulting, by any individual while fulfilling an obligation to the College in either an on- or off-campus assignment (or a combination of these) shall be limited to a 20% rate of the individual's annual base salary and a 10% rate in any six-month period. However, the policies set forth in no way preclude a member of the professional staff earning unlimited income while on appropriate leave status.
- Leaves may be applied for by any member of the professional staff who meets the eligibility requirements.
- Application form for leave, off-campus assignments, consulting, and other employment is in Appendix IIID. All applications should be submitted at least 60 days prior to the expected starting date of the leave.

2. Specific Policies

a. Consulting

Each member of the professional staff who engages in consulting activities shall file notification of intent to engage in such activity prior to the consulting with the appropriate supervisor, identifying the amount of time to be expended on such activities, the amount of supplemental earned income to be received therefrom and confirmation of this income from the person or agency requesting the consulting, and the client(s) to be served.

Members of the professional staff, while engaged in consulting, may not use College equipment, facilities, or services without the written authorization of the Vice President for Administration.

Members of the professional staff shall notify their clients that the service is provided by the consultant only, and that such service implies no legal obligation on the part of the College for performance and results, and that the consultation in no way implies endorsement of the results by the College. A copy of the letter to this effect to the client, shall be filed with the President.

b. Leaves of Absence

All leaves of absence shall be granted in accordance with the *Policies*.

(1) Vacation Leaves

All members of the professional staff shall submit requests for vacation leave to the appropriate supervisor who may approve on behalf of the President such requests and transmit them to the Personnel Office where they shall be recorded. Vacation time accrues at a rate of 1.75 days/month for full-time employees for calendar year appointments. Part-time employees will accrue vacation leave on pro-rated basis.

(2) Sick Leaves

Accrual is at the same rate indicated above in the section on vacation leaves. Limits and authorization are determined by the stipulations of the *Policies*.

(3) Leaves without Pay

Professional staff may request leave without pay for a finite period of time in order to pursue professional or personal activities. Applications for these leaves must be routed through the same procedure as for leaves with pay, except that the President grants the leave. No accruals for vacation or sick leave will be earned while on leave without pay. In addition, no insurance payments will be made by the State, although the employee has the option to pay the premiums in order to continue coverage. Finally, the State will not make payments to an employee's retirement system while the employee is on leave without pay. Periods of leave of absence without pay will not be included in computing time towards tenure or sabbatical leave; however, it shall not be deemed an interruption of otherwise consecutive service.

Any professional staff member except those on temporary appointment may be granted a leave without pay by the President. Request for such leave must have the approval of the direct line supervisor and the Vice President for Academic Affairs (for faculty), the Vice President for Administration (for professional employees), or the Executive Vice President (for administrative officers). A leave without pay that would extend an employee's appointment beyond the termination date of a non-renewal contract will not be granted. Professional staff members on leave without pay may have their contract renewed or non-renewed.

For any member of the professional staff, leaves without pay will affect fringe benefits (see Section V for description of benefits) as follows:

Health Insurance - An employee will be required to pay the employee plus the employer share of the premiums, on a bi-weekly basis, to continue coverage (approximately \$9.00 for individual or \$19.00 for family bi-weekly to the Department of Civil Service).

Dental Insurance - An employee will be required to pay the monthly premium, in advance, to the Personnel Office if he or she wishes to continue coverage (approximately \$.95 for individual or \$3.79 for family coverage).

Leave Accruals - No vacation or sick leave will be earned while on leave without pay.

Retirement - The State will not make payments to an employee's retirement system while the employee is on leave without pay.

Tenure, Sabbatical - Periods of leave of absence without pay will not be included in computing time towards tenure or sabbatical leave; however, it shall not be deemed an interruption of otherwise consecutive service.

In other words, a Professor who is granted a six-month leave without pay after two years of service will have the mandatory tenure date and eligibility date for sabbatical leave moved back six months. The employee will not have to start from zero when returning from this leave, but will simply pick up from where he or she left off prior to the leave.

If an employee requests such a leave without pay to serve with another SUNY Unit, the above areas will not be affected because the new employer will continue all benefits and leave privileges due the employee. Such a leave will also not constitute a break in service.

J. SABBATICAL LEAVE AND PROFESSIONAL REASSIGNMENT

Continuous full-time activity as a mentor or as a professional employee is intellectually and emotionally demanding, and effective performance over long periods of time requires that opportunities be given for professional growth and development through leaves and changes in assignments. For this reason both the academic staff and professional employees must have time periodically to shift the nature of their professional contribution to the College in ways that help them become better educators and sustain their professional competence and performance at high levels.

Professional development planning over an extended period is an essential part of the Empire State College program of sabbatical leaves and professional reassignment. Each professional staff member should devise a plan in consultation with the Dean, Director, or other supervisor, and that plan for continuing professional development should be the basis of all requests for sabbatical leaves and professional reassignments. Professional staff members on term appointment should have plans covering their terms. Others should have plans covering at least a two-year period. The professional development plan should be carefully and realistically prepared to take into account the needs and achievements of the professional staff member, the needs of the College, and the probable availability of professional reassignment or sabbatical leave.

The development plan should be stated in a formal written document and signed by the professional staff member as well as by the Dean, Director, or other supervisor. An optional summary Development Plan form is attached as Appendix IIIE of this policy statement.

Leaves and sabbaticals are not automatic rewards for years of service. Nor are minimal periods of service rigidly required. In general, however, it is expected that an academic staff member would apply for sabbatical leave after not less than six years of full-time service to the University. Academic staff members who have received sabbatical leave would normally not apply for another leave until six years of full-time service had passed.

Professional reassignments are available to all professional staff. In general, professional staff would only apply for one month of professional reassignment after two years of service to the College or for two months of professional reassignment after four years of service to the College.

1. Sabbatical Leaves

a. Policies

College policy concerning sabbatical leaves conforms to the provisions of the *Policies*. These provisions are stated in Article XIII, Title E, as follows:

Section 1. *Policy.* Sabbatical leaves for professional development may be made available to members of the professional staff who meet the requirements set forth in this Title E. The objective of such leave is to increase each such person's value to the University and thereby improve and enrich its program. Such leave shall not be regarded as a reward for service nor as a vacation or rest period occurring automatically at stated intervals.

Section 2. *Purpose.* Sabbatical leaves shall be granted for planned travel, study, formal education, research, writing or other experience of professional value.

Section 3. *Eligibility.* Members of the professional staff having continuing appointments, and college administrative officers, who have completed at least six consecutive years of service within the University or who, if they previously have had a

sabbatical leave, have completed at least six consecutive years of service within the University from the date of return from their last sabbatical leave, shall be eligible for sabbatical leave. In computing consecutive years of service for the purpose of this section, periods of vacation leave and periods of sick leave with salary shall be included; periods of leaves and absence (other than vacation and sick leave with salary) and periods of part-time service shall not be included, but shall not be deemed an interruption of otherwise consecutive service.

Section 4. *Terms and Conditions.* Sabbatical leaves may be granted for periods of one year at rates not to exceed one-half salary or for periods of one-half year at rates not to exceed full salary. Members of the professional staff on sabbatical leave may, with the prior approval of the chief administrative officer of the campus, accept fellowships, grants-in-aid or earned income to assist in accomplishing the purposes of their leaves. In such cases, such chief administrative officer may adjust the sabbatical leave salaries to reflect such income, either prior to or during the periods of such leave, but in no case shall sabbatical leave salary be decreased if total earnings are less than full salary.

Section 5. *Applications.* Applications for sabbatical leaves shall be submitted to the chief administrative officer of the college concerned as far in advance as possible of the requested effective date of the leave, but in no event later than six months in advance unless such requirement is waived. Each application shall include a statement outlining the program to be followed while on leave, indicating any prospective supplementary income, stating that the applicant intends to continue as a member of the professional staff upon his return and stating that upon his return the applicant will submit to the chief administrative officer of the college a report of his accomplishments while on sabbatical leave.

Section 6. *Approval.* The chief administrative officer of the college may grant such sabbatical leave as he deems appropriate and shall report to the Chancellor all sabbatical leaves which he has granted.

Section 7. *Substitutes.* During the absence on sabbatical leave of members of the professional staff of a college, the chief administrative officer of such college shall make appropriate arrangements for carrying on the activities of such college with due regard to the reasonable workload of the other members of the professional staff, and such persons on sabbatical leave shall not be required or permitted to contribute toward the salary of substitutes during their absence.

Section 8. *Leave Credits.* Vacation leave and sick leave credits are not accrued during a sabbatical leave.

b. Procedures

- Request for sabbatical leave should be sent to the Dean or Director with copies to the appropriate Vice President and Personnel Committee no later than December 1 of the academic year prior to the effective date of the leave.
- Request for sabbatical leave, including a clear and detailed outline of the program to be followed while on leave with an indication of how that program fits into the ongoing plan for professional development, and a written recommendation by the Dean or Director should be sent to the Vice President for Academic Affairs with a copy to the Academic Personnel Committee no later than January 1 of the academic year prior to the effective date of the leave. An application form is attached to this policy statement as Appendix III F.
- The appropriate Personnel Committee will be consulted.
- Final decisions regarding the awarding of sabbatical leaves will be made in writing by the President no later than February 1.

Receipt of the sabbatical leave depends upon the program proposed by the applicant, the recommendations of the Dean or Director, and the Vice President for Academic Affairs, as well as upon the decision of the President. The final result may also depend upon the staffing and budget situation of the College and Legislative action.

2. Professional Reassignment

There are many tasks to be done in the development of this new institution for which our professional staff are uniquely qualified by virtue of their direct experiences with our students and our educational processes and programs, which outside consultants and resource persons are not so well equipped to handle.

Some alternatives can be pursued within the context of a single Learning Center, others make more general, collegewide contributions or involve cooperative efforts with several Centers. Some areas of effort that are particularly pertinent to College development now and in the foreseeable future are listed below:

- Undertake special study or research; participate in workshops, seminars, courses, and other activities which will increase or broaden the range of professional competence, including competence within a discipline or across disciplines and teaching or administrative competence.
- Identify major field experience opportunities in the surrounding community. Describe the kinds of students for which they are appropriate. Indicate the working relationships and understandings required, the living arrangements, the costs, the significant requirements in terms of prior experience, competence, or study, and the time dimensions that make sense.
- Develop a learning module or organize a program which speaks to the needs of clusters of students in the Center or to collegewide needs that have been identified by the Learning Resources Center or the Research staff.
- Think through and plan a series of residential workshops or conferences which might be undertaken by a particular Learning Center or collegewide. Spell out the purposes, identify the resource persons and make arrangements for participation, identify the kinds of students who would be interested, implement the program.
- Devise and carry out, singly or in cooperation with the Research staff, a research project on teaching and learning problems at the Learning Center level or collegewide.

There are other alternatives which can and will be identified. A copy of the development plan should accompany the request for reassignment sent to the Dean or Director.

a. Policies

- Every second year, four weeks of time are normally available for reassignment to devote to professional development. This time may be in one four-week block or in smaller increments.
- Available after four years of service and every fourth year thereafter, an additional four weeks for professional development may be applied for. This additional time may be taken contiguous with the time stipulated above.

b. Procedures

To arrange and carry out a professional reassignment, four conditions must be met:

- A professional development plan must have been adopted, and the request must be related to that plan.

- An application for professional reassignment (see Appendix IIIG) should be sent to the Dean or Director with copies to the appropriate Vice President and Personnel Committee no later than four months prior to the proposed starting date of the reassignment.
 - The application for reassignment, including a clear and detailed outline of the program to be followed while on reassignment and a written recommendation by the Dean or Director, should be sent to the appropriate Vice President with copies to the appropriate Personnel Committee not later than three months before the proposed starting date of the reassignment.
- Academic staff should send their requests to the Vice President for Academic Affairs. Others should send their requests to the Vice President for Administration, or in the case of administrative officers, requests should be sent to the Executive Vice President after appropriate learning center recommendations.
- The appropriate Personnel Committee will be consulted.
 - Final decisions regarding professional reassignment will be made in writing by the appropriate Vice President not less than two months before the proposed starting date of the assignment.

K. RETIREMENT

Procedures governing retirement are outlined in Article XV of the *Policies*.

- Title A: Membership in Retirement Systems
- Title B: Mandatory Retirement
- Title C: Voluntary Retirement
- Title D: Retirement for Physical or Mental Incapacity
- Title E: Privileges After Retirement

(See also Article XIX, Title A: Applicability of *Policies* to Employees in Negotiating Units.)

Membership in one of the retirement systems is mandatory for all full-time professional staff members. Those joining Empire State College who are already members of a public retirement system at another unit of State University must remain in their present system. Staff members not previously covered may choose the Teachers' Retirement System (TRS), the State Employees Retirement System (ERS), or the TIAA-CREF option. This choice must be made within 30 days of effective date of appointment. Those not indicating a choice within that time are required to join the TRS and have no further opportunity to elect TIAA. Part-time employees are eligible to join TRS and ERS only.

L. COLLECTIVE BARGAINING

The United University Professions, Inc. (UUP) is the exclusive representative for collective negotiations with respect to terms and conditions of employment, as defined in the current Agreement, for the 15,000 academic and professional employees of the State University of New York. The current Agreement between the State University of New York and United University Professions, Inc. covers the period from July 1, 1974 to June 30, 1976. Periodic negotiations with the State define terms and conditions of employment covered by the Agreement.

A formal grievance procedure is included in this Agreement as an enforcement mechanism. All covered employees should familiarize themselves with the Agreement and should take advantage of the grievance process if necessary by contacting the local Grievance Chairperson.

UUP is a statewide organization consisting of local chapters on each SUNY campus, including Empire State College. Each Chapter sends representatives to the governing Delegate Assembly, which meets at least twice each year. The Assembly in turn elects an Executive Board which meets monthly. The top elected officers work full-time for UUP along with a regular staff. The headquarters are at 15 Computer Drive in Albany.

The Empire State College Chapter of UUP membership meets from time to time in each local unit as well as collegewide at the time of the All-College Assemblies. Members elect a Chapter Executive Board which includes a President, a Vice President for Academic Staff, a Vice President for Professional Staff, a Secretary/Treasurer, and a Grievance Chairperson. Members in each unit may also elect representatives directly to the Board, so that each unit is insured of representation. From time to time the Board co-opts additional members for functions as special committee chairpersons.

The Executive Board usually meets twice monthly, once by conference call and once in person. This latter meeting rotates among the various College units, providing an opportunity for members throughout the College to meet directly with the Board. Part of the afternoon of these meetings is devoted to an official consultation with the President of the College or his/her representative. At this time, the Board raises various issues suggested by the membership concerning terms and conditions of employment. The Chapter Newsletter, *On the Line*, gives reports of these meetings as well as other Chapter news.

Executive Board members for 1975-76 are:

James A. Paul
Susan B. Kaplow
Patricia Davenport
Reuben Garner
Joel A. Shufro
Louise Cohen
Alesia Edwards
Peter Pollack
Randy Reiter
Fran Zucker

President (Long Island)
Vice President for Academic Staff (Albany)
Vice President for Professional Staff (Saratoga)
Secretary/Treasurer and Representative (Buffalo)
Grievance Chairperson and Representative (Labor)

M. RESEARCH AND PUBLICATIONS

1. Extramural Funding Policy

ESC is the newest college of SUNY and is committed to alternative forms of postsecondary education. This institution was started with a combination of State appropriations and extramural funding, and the flexible development of its programs and instructional options in the future will rely on multiple sources of support. To achieve these ends, ESC intends to continue a vigorous search for extramural funding to supplement State monies and to provide support for individual faculty and program development. This statement represents the policy framework designed to enhance extramural fund raising at ESC.

2. Grants Coordinating Committee

In 1973, the Empire State College Grants Coordinating Committee was established to provide the President with a broad base of advice within the College about possible projects and funding sources. Specifically, this committee: (1) encourages extramural funding of College activities and projects where appropriate; (2) reviews various bulletins and newsletters for potential institutional and/or individual project ideas and funding sources and disseminates this information to appropriate College offices and individuals; and (3) from time to time provides the Office of the President with suggestions about fundable projects and priorities among alternative projects.

The Assistant Vice President for Research and Evaluation (AVPR&E) is chairperson of the Grants Coordinating Committee and serves as the College's grants administration officer. That office provides administrative assistance (e.g., searches out sources of information on grants available; distributes grant information to appropriate persons; and helps persons with ideas to connect with relevant funding sources) in the development of grant proposals, contact with funding agencies, liaison with the Research Foundation and with the Washington Office of SUNY. The college's grants administration officer coordinates all extramural funding activities, institutional or individual. In the case of grants for individual professional staff members, the grants administration officer's function is not to judge the merit of proposals but to facilitate their funding and to provide liaison with the Research Foundation. The grants administration officer will, however, insure that no unauthorized commitments are made for the College in proposals submitted by individual staff members.

All applications and/or proposals for extramural funding are processed through the grants administration officer and should be forwarded to that office at least one week prior to deadline dates.

3. The Research Foundation

The SUNY Research Foundation is a private, nonprofit corporation whose purpose it is to administer all gift, grant, or contract funds supporting sponsored research, training, and related programs carried out or supervised by faculty members at any of the SUNY campuses. All applications to prospective sponsors for fiscal support must be endorsed by the Research Foundation, which also acts as trustee and fiscal administrator for all funds awarded. The Foundation does not review or evaluate program or technical aspects of the proposals but it does review the proposals to be certain that they meet the Foundation's guidelines. In addition, the Foundation is a repository of information on potential sources of funding and the requirements of these sources. They maintain an office in Washington, D.C. in order to develop contacts with funding agencies and receive current information.

Specifically, the Research Foundation reviews all grant proposals to be certain that:

- provision has been made for the adequate protection of the rights and welfare of the subjects of the research whether independent volunteers, members of groups (such as students or patients), those with limited civil freedom (such as prisoners, military personnel, or institutionalized individuals), or those whose rights can only be exercised by next of kin or legally authorized representatives (such as the unborn or dead).
- the potential benefits to the individual subject and/or to a field of knowledge outweigh the possibility of physical, psychological, or sociological harm that the research could cause.
- consent from the individual or from an authorized representative, if the subject is incompetent to give own consent, has been obtained in an appropriate manner. This means that the subject must be given a fair explanation of procedures to be used and whether or not they are experimental; a description of probable or possible discomfort, risks, and benefits; explanation of alternative procedures and their advantages and disadvantages for the subject; assurance that the subject can withdraw from the experiment at any time; and an offer to answer the subject questions regarding experimental procedures.
- the consent of all subjects will be documented and adequate files will be kept to document all aspects of the research.

a. Grant-in-Aid and Fellowship Programs/SUNY-Research Foundation

Through three programs of awards available to members of the academic staff of State University of New York, the institution seeks to encourage scholarly and creative activities. The

programs provide funds, through Grants-in-Aid, to help cover the special expenses involved in such activities. They also provide support through the Faculty Research Fellowship program for free time to pursue these activities.

The overall program format consists of the following three programs entailing awards ranging from \$100 up to \$3,400.

- Program 1: Faculty Fellowship, a \$2,000 stipend
- Program 2: Grant-in-Aid (up to \$3,400)
- Program 3: Faculty Research Fellowship and Grant-in-Aid (total sum of both components may not exceed \$3,400)

An applicant may apply for only one of the three alternative programs sponsored by the State University of New York/Research Foundation. Application forms are available from the grants administration officer along with additional information. Absolute deadline dates are October 15 for receipt by the University Awards Committee for all applications for awards, and November 1 for receipt by the Committee of all Reference Reports. Applications received after the deadline will not be accepted by the University Awards Committee for review.

b. Faculty Grants for the Improvement of Undergraduate Instruction

This program seeks to encourage scholarly and creative activities which lead *directly* to the improvement of undergraduate instruction. The program provides funds, through faculty grants, to help cover the special expenses involved in such activities and to provide support to pursue these activities.

An individual may request support in the form of a stipend, expenses, or combination of both. Requests may range from \$800-\$2,000; however, the total amount may not exceed \$2,000 per applicant.

There is an absolute deadline of November 1 for receipt by the Central Awards Committee of all applications for awards. Applications received after that date will not be accepted.

For further information on grants and awards, contact the grants administration officer (518-587-2100, ext. 214).

N. TRANSFER TO ANOTHER STATE UNIVERSITY OF NEW YORK CAMPUS

Procedures governing academic staff transfers to another SUNY campus are outlined in Article XVI: Title A of the *Policies*. Although not mentioned in the *Policies*, Title A is also true for professional employees.

IV. BENEFITS

New professional staff members receive a packet of materials relating to employee benefits. The Personnel Office can supply details on all available options and current rates for retirement, health insurance, and death benefits. Coverage is described briefly below.

A. SOCIAL SECURITY

All professional staff are covered. The salary base for social security is \$15,300 for 1976. Beginning with the first January paycheck each year, deductions are made from bi-weekly paychecks until the deduction limit is reached. Currently, the deduction rate is 5.85%.

B. HEALTH INSURANCE

Membership is voluntary, and coverage may be elected for an individual or a family. Enrollment in any of the three options listed below is subject to the following conditions: those applying within seven days of effective date of new appointment receive coverage beginning on date of appointment. Applications received between the seventh and the eighty-fourth day following appointment initiate coverage beginning with the next payroll period after their filing. If a new staff member completes the enrollment form more than 84 days after date of appointment, the individual's insurance coverage will become effective on the first day of the following period. However, the individual's dependents' coverage will not become effective until fourteen weeks after individual coverage goes into effect.

1. Statewide Plan

Basic Hospitalization coverage through the Blue Cross Plans of New York State;
Basic Surgical-Medical coverage through the Blue Shield Plans of New York State;
Major Medical coverage through the Metropolitan Life Insurance Company (\$50 deductible per person, \$150 maximum per family).

Under this option, the State meets the entire costs of coverage for the insured employee. Coverage for any dependents is met by payroll deductions.

2. Group Health Insurance (GHI)

Basic Hospitalization coverage through the Blue Cross Plans of New York State;
Surgical-Medical coverage for comprehensive medical care, professional services, nursing, drugs, medicines, appliances, and equipment through Group Health Insurance, Inc.;
Extended benefits rider for nursing, ambulance, drugs, appliances, and equipment (\$50 deductible).

Under this option, the State University presently contributes the entire cost of coverage for the employee. Coverage for any dependents is met by payroll deductions.

3. Health Insurance Plan of Greater New York (HIP)

Comprehensive medical, surgical, specialist, and obstetrical services provided in physicians' offices, in medical group centers and in hospitals through medical groups, consisting of family doctors and specialists. (Home calls are available under HIP. One is not involved in the payment of the doctor when services are received through the medical group under this Plan.)

Under this option, the State assumes the major cost of employee coverage; the remainder as well as the coverage for any dependents, is met by payroll deductions. The plan provides little or no benefit for those living outside the New York Metropolitan area. Very few physicians outside of that area are enrolled in the plan.

C. GROUP HEALTH DENTAL INSURANCE PLAN

The Dental Plan of the State of New York is non-contributory. Coverage commences after a six month waiting period. The plan is \$150 family deductible or \$50 individual deductible after which the insurance company reimburses 100% of the "Value for Deductible" for service received.

D. DISABILITY INSURANCE

The State University has a disability insurance program for full-time professional personnel with more than three calendar years of State University of New York service. Individuals are notified as their coverage becomes effective.

- Benefits begin six months after total disability is incurred as a result of illness.
- Benefits consist of an income of 60% of monthly earnings on the first \$1,000 of earnings during any month, plus 40% of earnings in excess of \$1,000 per month. However, the maximum benefit to be paid in any month will not exceed \$1,500.
- Benefits are based on the monthly earnings at the time the disability was incurred.
- Contributions to a retirement plan will continue at the same level as it was at the time of the disability until retirement.
- Benefits are paid until one of the following events occurs. The individual (a) recovers sufficiently to return to gainful employment; (b) reaches age 65; or (c) dies.

E. UNEMPLOYMENT INSURANCE

Professional staff are covered under the State Law provisions for unemployment insurance. The employee must have 20 weeks of covered employment in the previous 52-week employment period prior to filing for benefits.

F. LIFE INSURANCE

No form of life insurance is provided through the University. Low-cost group life insurance programs are available to academic staff and professional employees who choose to join university-affiliated organizations. University members may also take advantage of a group disability and dismemberment policy offered through the Metropolitan Life Insurance Group. Death benefits are provided in each retirement plan. However, the State of New York offers a special group life insurance plan to those members of the professional staff designated managerial/confidential.

G. PROFESSIONAL LIABILITY

The State Education Law provides indemnification by the State, of State University professional staff members who may incur suit as a result of injury to persons or damage to property occurring while they are performing their ordinary line of duty, provided, of course, that "no willful act" or "gross negligence" can be proven, and provided that anyone against whom any legal action is brought shall notify the State Attorney General and forward to the Attorney General any papers that have been served within five days of receipt.

H. TAX-SHELTERED ANNUITY

A tax-sheltered annuity program is available to all State University professional and clerical staff members. Staff members may elect to set aside a portion of their contract salary as a retirement investment. Under this program the funds will be deducted from the bi-weekly paycheck prior to the determination of income tax withholdings.

I. DEATH BENEFITS

Types of death benefits vary according to the retirement system which one elects, and here, also, careful attention to the details of each option is strongly recommended.

J. REIMBURSEMENT OF RELOCATION EXPENSES

Transferred members of the staff may qualify for relocation expenses in accordance with the Regulations of the Board of Trustees. Questions regarding eligibility for relocation costs should be directed to the Executive Vice President or the appropriate administrative office prior to signing a contract. Normally such expenses are not available to new appointees because of College budget limitations.

V. OTHER GENERAL POLICIES

A. CODE OF ETHICS

The State Code of Ethics, applicable to all professional staff, warns against involvement in any activity, financial or otherwise, which is in substantial conflict with the proper discharge of duties in the public interest. In addition to any penalty contained in any other provision of law, anyone who shall knowingly and intentionally violate these provisions may be fined, suspended, or removed from office or employment in the manner provided by law. A more complete description of the above can be found in Chapter 1012, *Laws of New York 1965*, Public Officers - Appearances and Interests.

B. ACADEMIC FREEDOM

The policy concerning academic freedom is outlined in Article XI: Title J of the *Policies* and the UUP Agreement.

In general, professional staff of State University of New York have the same freedoms as other citizens. Political activity is permitted in the role of citizen and not of institutional spokesman. Conflict of interest and/or political activity interfering with full performance of professional obligation to the University may be subject to University review.

C. AUTHORIZED TRAVEL

Travel in connection with College duties by professional staff comes under the regulations applicable to all State employees. The College Business Office is responsible for administering these regulations. All professional staff members are advised to consult with their supervisor or Dean before undertaking any travel for which they expect to be reimbursed. All out-of-state travel must be approved in advance through the Dean or appropriate supervisor and ultimately by the Executive Vice President. Staff members should consult with the Business Office regarding Policy on Methods of Travel. A booklet describing the details of travel by State employees, entitled, *Traveler's Guide for Preparation of Travel Accounts Payable from State Funds*, is available in the Business Office.

Mode of travel should be determined in relation to efficiency, expense, and liability factors. Before using a private car, the traveler must prove that there is no State car available. A State car may be provided at the Coordinating Center for certain kinds of travel. (Staff at the Northeast Regional Center are encouraged to use the State Garage.) If a private car is used for professional travel, the regular State per mile allowance is provided, regardless of the number of people sharing the car, or the allowance may be equivalent to first class railroad fare.

Travel vouchers should be obtained through local administrative units. Lodging Requests (LR) and Transportation Requests (TR) coupon booklets should be obtained through local administrative units. Deans or supervisors must sign vouchers before they are sent to the Business Office for reimbursement. Travel vouchers must be returned to the Business Office, regardless of what means of paying expenses has been employed.

Provision is made for State University employees to receive an *advance for travel* while on official business. Two types of travel advances can be made: (1) to employees in continuing travel

status; (2) to employees whose duties require occasional travel. Specific policies and procedures relating to each of these categories are available from the Business Office and/or from the Regional Center Deans. Applications for travel advances can be obtained from the Business Office upon request. Within the Regional Centers, requests for advances should go to the Deans.

D. PATENT AND COPYRIGHT POLICY

Policies governing patents and copyrights are outlined in Article XI: Title K of the *Policies*.

VI. LIST OF PROFESSIONAL STAFF

Coordinating Center

Office of the President

James W. Hall
Leslie Hartman
Carolyn Jenkins
Ellen Wayman
Janet Zimmer

President
Secretary to the President
Editor
Assistant for Community Relations
Affirmative Action Officer

Office of the Executive Vice President

Ronald D. Corwin
James Bateman

Executive Vice President
Assistant Vice President for Administration
(temporary reassignment)

Office of the Vice President for Academic Affairs

John Jacobson
Robert Barylski

Vice President for Academic Affairs
Assistant to the Vice President for Academic Affairs

Office of Student Services

John Hall
James Dickinson
Patricia Golicki
Kay Katzer

Dean of Students
Associate for Admissions
Student Financial Aids Officer
Associate for Admissions

Learning Resources Development

Maxine Bernstein
Leslie Bechtel
Marie Costello
Robert Orrill
Martin Thorsland

Director of Resources Development and Services
Technical Assistant
Technical Assistant
Coordinator of Learning Resources Development
Coordinator of Learning Resources Development

Learning Resources Information and Distribution

Robert Pasciullo
Marilyn Huber
Marianne Nolan
Frank Rader
Harold Roeth

Assistant Vice President for Learning Resources
Associate for Learning Resources
Assistant Librarian
Associate for Learning Resources
Associate for Learning Resources

Office of Program Review and Assessment

Albert Serling
Vincia Carlstrom
Abbie Place

Director
Assessment Specialist, Part-Time
Assessment Specialist, Part-Time

Office of Residencies

Albert Schwartz

Director

Office of the Vice President for Administration

Roger Trumbore
A. Paul Bradley

Vice President for Administration
Director of Institutional Research

Business Office

C. Terry Wiegert
Patricia Davenport
William Kerr
Herb Klaf
Raymond Lynch
William Stafford

Director
Director of Student Accounts
Bursar
Purchase Associate
Assistant to the Director
Assistant Director

Central Records Office

Jeanne Brockmann
Muriel Wilhelm

Coordinator of Central Records
College Registrar

Computer Services

C. Allan Rickard
Stanley Drosky
Laura Gross
Ann Robertson
A. Jeffrey Westcott

Manager
Programmer/Analyst
Programmer/Analyst
Computer Operator
Programmer/Analyst

Personnel Office

Greg Montague

Personnel Associate

Office of the Vice President for Policy Analysis and Evaluation

Arthur W. Chickering
Jack Lindquist
F. Thomas Clark

Vice President for Policy Analysis and Evaluation
Research Associate for Policy Analysis
Director, Center for Individualized Education

Office of the Assistant Vice President for Research and Evaluation

Ernest Palola
Shirley Bishop
Virginia Brown
Carol Conway
Richard Debus
Timothy Lehmann
Loralee Pyryemybida

Assistant Vice President for Research
Research Assistant
Research Assistant
Research Assistant
Director of Cost Studies
Director of Program Evaluation
Research Assistant

Genesee Valley Regional Center

William Laidlaw
Carol Kaman
Joseph McGurn
Victor Montana

James Anderson
Anita Avakian
Margaree Champion
Scott Chisolm
William Cirocco
H. Kenneth Cohen
George Drury
Kurt Feuerherm
James Garbarino
Lloyd Lill
Laurence Lipsett
Robert Seidel
Neva Walden
Wilson Wheatcroft
David Youst

Marilyn Anderson
Alesia Edwards
Peter McDonough
Ronald Sheppard
Joel Tolliver
Christopher White

Dean
Administrative Assistant
Assistant Dean
Associate Dean

Assistant Professor
Assistant Professor
Assistant Professor
Lecturer
Instructor
Assistant Professor
Professor
Assistant Professor
Assistant Professor
Associate Professor
Professor
Assistant Professor
Instructor
Assistant Professor
Assistant Professor

Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time

Center for Labor Studies

William Goode
Riecelle Schechter

Associate Dean
Assistant Dean

Harry Kelber
Joel Shufro
Ruth Spitz
Carl Torgoff

Professor
Instructor
Associate Professor
Instructor

Richard Logan
Fred Siegel

Mentor, Part-Time
Mentor, Part-Time

Long Island Regional Center

Long Island West

George Dawson
James Feeney
Barbara O'Connell

Ralph Baldwin
Nathan Brod
Fernand Brunschwig
Nancy Edwards
Jamison Gilder
Gary Goss
Patricia Lefor
Donald Park
James Paul
Jan Rosenberg
Jane Shipton
Elizabeth Steltenpohl
Jeffrey Sussman
Evelyn Wells

Stanley Frame
Sarah Gallagher
David Petteys
Fred Siegel
Herbert Sucoff

Acting Dean
Associate Dean
Administrative Assistant

Professor
Associate Professor
Assistant Professor
Assistant Professor
Assistant Professor
Assistant Professor
Assistant Professor
Assistant Professor
Assistant Professor
Instructor
Assistant Professor
Associate Professor
Instructor
Assistant Professor

Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time

Long Island East (Includes Hauppauge)

Rhoda Wald
Frank Fischer
Myra Fooden
Harvey Hindin
Raphael Lewis
John Morse

Helen Schneider

Neil Gallagher
Kathleen Sacco

Professor and Acting Associate Dean
Instructor (Hauppauge)
Instructor
Instructor
Assistant Professor
Visiting Assistant Professor and Coordinator of
Hauppauge Unit
Instructor

Mentor, Part-Time
Mentor, Part-Time (Hauppauge and Old Westbury)

Headstart

Mary Kasindorf

Mentor, Part-Time

Lower Hudson Regional Center

Mary Ann Biller
Norma Brodbar
Lois Lardin

Nancy Bunch
Gregory Cowan
Jay Gilbert
Rhoda Miller
Lois Muzio
Gerald Sircus
Miriam Tatzel
C. Ashton Thumm

Louise Cohen
Samuel Draper
Michael Fluhr
Stephen Levy
Alan Mandell
Eudice Mesibov
Yolanda Murphy
Diana Worby

Dean
Administrative Assistant
Associate Dean

Associate Professor
Assistant Professor
Associate Professor
Assistant Professor
Assistant Professor
Associate Professor
Assistant Professor
Visiting Assistant Professor

Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time

Metropolitan New York Regional Center

Oscar Goodman
Lorraine Serabian
Kathryn Yatrakis

Acting Dean
Administrative Assistant
Acting Associate Dean

Susi Bloch
Dorothy Burnham
Jane Dahlberg
Jogues Egan
Stuart Ewen
Bernard Flynn
Joseph Goldberg
Ethan Gologor
John Neumaier
Randy Reiter
Bernard Stern

Assistant Professor
Assistant Professor
Professor
Assistant Professor
Assistant Professor
Associate Professor
Professor
Assistant Professor
Professor
Assistant Professor
Professor

Charles Guccione
Lynell Hemphill
Robert Matthews
James Meertens
Annabelle Nelson
Shirley Standish

Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time

Bedford-Stuyvesant

Rudolph Cain
Gwen Jennings

Visiting Instructor
Administrative Assistant

South Bronx

Frederica Daly
Melvyn Rosenthal

Associate Professor
Assistant Professor

Niagara Frontier Regional Center

Sig Synnestvedt
Robert Hassenger
Sally Spencer
Francine Zucker

Joanne Altieri
John Burke
Thomas Dehner
Allen DeLoach
Keith Elkins
Reuben Garner
Regina Grol-Prokopczyk
Emmett Murphy
Robert Rodgers

John Druar
Joe Fischer
Judith Kerman
Rose Nwako

Dean
Associate Dean
Administrative Assistant
Assistant Dean

Visiting Assistant Professor
Assistant Professor
Assistant Professor
Assistant Professor
Associate Professor
Assistant Professor
Assistant Professor
Assistant Professor
Associate Professor

Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time
Mentor, Part-Time

Northeast Regional Center

George Schlekot
Rosemarie French

Robert Congemi
Carolyn Forrey
Charles Fox
William Frankonis
Susan Kaplow
Angela Li-Scholz
Pearl Mindell
Robert Morrison
Sylvain Nagler
Davenport Plumer
Sharon Villines
Stephen Wilson

Frank Cuttita

Barbara Nagler
Peter Pollack

Dean
Administrative Assistant

Assistant Professor
Assistant Professor
Assistant Professor
Assistant Professor
Assistant Professor
Associate Professor
Assistant Professor
Assistant Professor
Associate Professor
Associate Professor
Assistant Professor
Assistant Professor

Adjunct Mentor (temporary reassignment)

Mentor, Part-Time
Mentor, Part-Time

Center for Statewide Programs

Administrative Offices

William Dodge
Virginia Lester
Mary Mooney
Alesandra Schmidt

Richard Bonnabeau
George Bragle
Dorothy Kaiser

Dean
Associate Dean
Administrative Assistant
Associate Dean

Instructor
Associate Professor
Instructor

Binghamton Unit

Forest Davis
Joseph Pittelli

J. Roger Hawkins
Margaret Spanos

Professor
Assistant Professor

Mentor, Part-Time
Mentor, Part-Time

Mid-Hudson Unit

Frederic Mayo

Peter Wright

Assistant Professor

Mentor, Part-Time

North Country Unit

M. Scheffel Pierce

Wilburt Elliott
M. Celeste Williamson

Associate Professor

Mentor, Part-Time
Mentor, Part-Time

Onondaga Unit

Marlene Evans
Judith Krom
John Spissinger

Instructor
Assistant Professor
Instructor

Saratoga Unit

Peter Gilbert

P. David Finks
John Shephard

Instructor

Mentor, Part-Time
Mentor, Part-Time

Urban Study Unit (Including Studio Arts Program)

Kenneth Abrams
Robert Carey
Shelly Halpern
Sumner Hayward
Altagracia Herrera
Irving Kriesberg

Professor
Assistant Professor
Assistant Professor
Professor
Visiting Lecturer
Lecturer

Utica Unit

Reed Coughlan
Lois Portman

Instructor
Mentor, Part-Time

APPENDICES

April 1, 1975



APPENDIX IIA
THE BYLAWS OF EMPIRE STATE COLLEGE

PREAMBLE

We, the faculty of Empire State College, adopt these Bylaws for our governance. The purpose of Empire State College is to provide alternative forms of higher education within the framework of the State University of New York. These Bylaws are intended to promote broad and responsible participation of the members of the College in the decisions that will lead the College toward the achievement of its purpose. Through the system of governance established by these Bylaws the members of the College will promote innovative and effective programs of education which are responsive to the personal, social and academic needs of all constituents of the College.

These Bylaws are consistent with the Board of Trustees Policies and with the contract between the State of New York and the legally constituted state bargaining agent.

ARTICLE I - THE VOTING MEMBERSHIP

The voting members of Empire State College Assembly shall consist of:

- A. The Chancellor of the State University of New York and the President of Empire State College.
- B. All the members of the academic and non-teaching professional staff of the College holding full-time appointments of at least six months.
- C. Part-time academic and non-teaching professional staff who have contracted to serve the College for at least six months will be eligible to participate in the College Assembly, the College Senate, and the Standing Committees.

There will be one vote per full-time academic or non-teaching professional budgetary line. At each Center a list of part-time academic and non-teaching professional staff will be circulated to that constituency.

- D. Such student representatives and others as may be provided for by enabling action of the College Assembly.
- E. By petition, 15% of the voting membership may call for a referendum vote on any policy recommendation by the College Senate (Article III) or the Standing Committees (Article IV). Such a referendum shall be by mail ballot. Such mail ballot shall be conducted by the President's Office.
- F. Any mail ballot conducted by the College Senate, Standing Committee or any other governance component shall be considered valid if a majority of the voting membership respond. The only exceptions to this procedure will be those specified by the Policies of the Board of Trustees, amendment votes as specified in these Bylaws and special votes designated by the voting membership in which the voting procedure may be otherwise specified.

ARTICLE II - THE COLLEGE ASSEMBLY

The voting membership of Empire State College shall meet at least twice each year for two or more days on each occasion. Additional meetings may be called by petition of 25% of the membership and in consultation with the Budget Committee. The Agenda for the Assembly, including scheduling of individual Sessions and the determining of specific items to be considered at the Plenary Session, will be prepared by the Senate in consultation with the President or his designee and submitted to the members of the Assembly 30 days prior to the meeting of the Assembly. The Plenary Session shall be the College Assembly.

A. Sessions of the College Assembly

1. The Plenary Session. The President of the College or his designee shall preside over the Plenary Session of the College Assembly. Rules for the conduct of meetings and for the convening of special sessions shall be set bi-annually. The first order of business of the Assembly shall be the adoption of an agenda.

2. The Faculty Conference. The Faculty Conference shall consist of all teaching members of the Assembly who have full-time appointments in academic ranks, including qualified academic rank and excluding those in administrative category. The Conference shall be presided over by a chairperson of the Faculty elected for one year. Rules for the conduct and convening of meetings shall be reported to the College Assembly. The Faculty Conference may submit recommendations to the College Assembly upon the recording of its rules with the College Assembly.

3. Additional Sessions. The voting membership shall develop such conferences, caucuses and meetings as it deems necessary. Requests to appear on the official agenda of the Assembly must be received 45 days prior to each Assembly meeting.

B. The recording, filing, and dissemination of the College Assembly affairs including establishing, maintaining and up-dating the list of voting membership shall be facilitated by the Office of the President, and shall be an operative function of that office unless and until specified otherwise at a regular or special meeting of the Assembly.

C. Center voting members may adopt their own rules or procedure for local governance which shall not contravene these Bylaws nor policies established by College-wide governance bodies as described in these Bylaws; such local rules are subject to approval by the President.

ARTICLE III - THE COLLEGE SENATE

- A. 1. Each center shall be entitled to representation in the College Senate. At the time of the Senate election those Centers with less than 10 Assembly members will elect one senator, otherwise 2 senators will be elected. College Assembly will elect 4 members at large.

For the purpose of governance the Centers eligible to elect senate members shall include: Coordinating Center, College-Wide, Long Island, Northeast, Buffalo, Genesee Valley, Metropolitan, Labor and the Lower-Hudson Center. The President may propose the addition or deletion of centers for the purpose of governance to the Assembly. Assembly approval of such proposals, by majority vote, - by mail ballots supervised by the Senate, or by vote in plenary session - is necessary.

2. Terms of office for Senate membership shall be for two years, the terms beginning July 1 of each year. No member will serve for more than two consecutive terms. Participation of students and others in proceedings of the College Senate shall be determined by the enabling action of the College Assembly based on full consultation of groups involved. The State University Faculty Senator and the President of the College shall be ex-officio members of the College Senate unless they are elected as College Senators.

- B. 1. The College Senate shall meet bi-monthly, or at the call of the President. The Senate, acting for the voting membership, may
1. initiate proposals
 2. refer items to a Standing Committee
 3. receive and act upon recommendations concerning policy and procedures from various committees and any voting member of the College
 4. undertake and supervise any activity that is deemed part of the governance process not specifically covered by the Standing Committees

Any actions taken by the Senate are sent to the President who will give his response to the recommendations within 30 days after he receives them. If the President chooses not to implement the recommendations of the Senate he must state his reasons for not implementing them.

2. The Senate will communicate to the Assembly membership within 30 days all deliberations, actions and official communications with the President or other parties.
3. Any action of the Senate may be challenged by a majority vote of the Assembly by referendum vote or action at an Assembly meeting.

- C. The College Senate shall elect its own officers at its first meeting after July 1 of each year and make provision for orderly succession of officers. Rules for the conduct of meetings shall be determined by the Senate and reported to the College Assembly membership.
- D. The College Senate may appoint ad hoc committees as it deems necessary provided such committees neither overlap nor conflict with the Standing Committees established in these Bylaws.
- E. The Senate shall set a regular, reasonable, deadline for submission of items to be included on the Senate Agenda. All committee proposals submitted before the deadline will appear on the agenda.

ARTICLE IV - THE STANDING COMMITTEES

- A. The standing committees are established in order to carry out recurring collegial obligations on a College-wide basis. Each Standing Committee shall have the right to appoint ad hoc sub-committees drawn from the membership of the voting membership to perform specific tasks. These sub-committees shall report only to the Standing Committee which appointed them. Each Committee may have one student representative selected to work with the Committee. The selection will be by procedure agreed upon by the Senate and appropriate student group(s).

All policy and procedural recommendations by Standing Committees shall be made to the College Senate and shall become part of the official College Senate minutes; however, informal consultation on matters pertinent to the individual charges of the Committees can be carried on with any member or group of the academic community. A yearly report by the Committee will include a summary of these consultations.

The following standing committees are established:

- 1. Academic Personnel: Re-appointment, Promotion, Tenure, Leave, and Professional Reassignment

The Academic Personnel Committee shall consult and advise the President in all re-appointments, promotions, tenure, leave, professional reassignment decisions, selective salary adjustments, and on other matters of employment conditions not covered by the current negotiating contract. The President shall advise the Committee of the budget allotment for faculty salaries and the number of openings in each Center and present the Committee with all data necessary for its functioning.

- a. Membership: One member elected from and by the academic personnel of each Center exclusive of those designated as Management.

2. Non-Teaching Professional Personnel: Re-appointment, Promotion, Leave, and Professional Reassignment

The Non-Teaching Professional Personnel Committee shall consult and advise the President in all re-appointments including permanent appointment, promotions, leaves, professional reassignment decisions, selective salary adjustments, and other matters of employment conditions of Non-Teaching Professional Personnel not covered by the current negotiating contract. The President shall advise the Committee of the budget allotment for Non-Teaching Professional salaries and the number of openings in each Center and present the Committee with all data necessary for its functioning.

- a. Membership: Five members elected from and by the Non-Teaching Professional Personnel of the College exclusive of those designated as management or academic personnel

3. Academic Policy, Learning Programs, and Related Research

The Academic Policy and Learning Programs Committee shall act for the Faculty in the continuing study, review and recommendations for changes in all phases of the academic programs of the College. Membership: One member elected from each Center. The President shall appoint one voting member from an area appropriate to the business of the Committee.

4. Budget

The Budget Committee will advise the President in the preparation of the College budget. It will review all budgetary information necessary for decision-making on the Center and College-wide levels. Membership: One member elected from each Center. The President shall appoint one voting member from an area appropriate to the business of the Committee.

5. Student Life and Related Research

The Student Life Committee shall be responsive to student needs in areas of interaction, communication, information, and enrichment. Membership: One member elected from each Center. The President shall appoint one voting member from an area appropriate to the business of the Committee.

- B. Elections of new committee members and alternates by the Centers will be held before July 1 of each year. Committee membership will be a two-year term with the exception of any newly-constituted Committee in which case half of the members will serve for a one-year term.

- C. Each committee shall elect its own chairperson at its first meeting after July 1 from its existing membership and make provision for orderly succession of the chairperson.
- D. No voting member shall serve on any one College-wide committee more than two consecutive terms. No voting member (excluding alternates) shall serve on more than one College-wide Standing Committee at any one time. Committee members appointed by the President are exempt from these provisions in recognition of their continuing responsibilities in areas of specialized administration. The Committee may request that the President change such appointments. No voting member shall serve as chairperson of a Standing Committee and chairperson of the Senate concurrently.
- E. Each committee shall publish minutes which shall be distributed to members of the College Assembly.
- F. All committee reports shall be maintained in the College Senate file in space provided by the President's Office.
- G. Additional Committees may be constituted upon recommendation of either the Senate or the President of the College and upon approval by both. These committees will function for one calendar year at which time a referendum will be conducted in the Voting Membership to determine whether the committee should be recommended as a Standing Committee.

ARTICLE V - ELECTIONS

All elections for Senators and Committee members are to be carried out at the Centers. Elections for all governance positions are to be held prior to July 1 of each year. Committees are constituted on July 1 of each year. Each constituency eligible to elect a representative to the Senate or committees shall also elect an alternative representative. The alternate shall have full voting rights and responsibilities whenever the primary representative is absent. Each constituency may also recall an elected representative by two-thirds vote of its members.

ARTICLE VI - CONSULTATION ON APPOINTMENTS

When academic administrative appointments above the rank of Associate Dean are being contemplated, either to the Coordinating Center or to the Centers, consultation shall be with the College Senate and with the staff involved. Such consultation shall be in two phases: First, a search committee shall be formed which includes representation from each of the constituencies concerned, including a representative from the College Senate. Second, there shall be opportunity for individual or group interviews with candidates. The Committee shall file specific recommendations of acceptable candidates for appointment with the President. The President's Office shall announce to the group concerned a decision for appointment (or reappointment) of a particular person to a particular position. Appointment of Associate Deans shall include similar consultation with the Center academic and non-teaching professional staff. Appointment and reappointment of Assistant Deans shall include similar consultation with Center academic and non-teaching professional staff.

ARTICLE VII - AMENDMENT

Proposed amendments to the Bylaws shall be submitted in writing by the College Senate to all voting members of the staff of Empire State College at least one month prior to any Plenary Session. The College Senate, or President, may initiate proposals and shall receive for consideration all proposed amendments from any voting member of the College Assembly. The Senate shall forward all proposals to the Assembly which are supported by a majority of the Senate or by an equal number of signatures of persons from the College as a whole including members of the Senate. Amendments must be passed by a majority of the full voting membership of the College Assembly listed at the time of the meeting in which it is presented.

ARTICLE VIII - VIOLATION OF BYLAWS

Alleged violations of these Bylaws will be referred to the Senate which will act as an adjudicating body. Any actions determined to be in violation of the Bylaws will be reported to the appropriate offices.

ARTICLE IX - BYLAWS REVIEW

These Bylaws shall be reviewed as prescribed by the College Assembly two years after their adoption by the Assembly and their acceptance by the President.

ARTICLE X - SUNY FACULTY SENATOR

The Assembly shall elect from among its membership a Senator to serve on the SUNY Faculty Senate. Nominations for this position shall be taken at the Spring All-College meeting and the election held by secret mail ballot. An alternate Senator shall also be elected.

ARTICLE XI - RULES OF ORDER

The most recent edition of Robert's Rules of Order will prevail except when supplanted by these Bylaws.

APPENDIX IIB
ROSTER

SENATE AND STANDING COMMITTEES
July 1, 1975 to June 30, 1976

	<u>Senators</u>	<u>Term for Elected Offices</u>	<u>Alternate</u>
Coordinating Center:	Maxine Bernstein Timothy Lehmann	1 Year 2 Years	(Vacant)
Genesee Valley:	Nancy Avakian Victor Montana	2 Years 1 Year	Kenneth Cohen
Labor Studies:	Carol Torgoff	1 Year	(Vacant)
Long Island:	Patria Lefor Helen Schneider	1 Year 2 Years	Nathan Brod
Lower Hudson:	*Nancy Bunch Miriam Tatzel	2 Years 1 Year	Jay Gilbert
Metropolitan New York:	Jane Dahlberg Stuart Ewen	2 Years 1 Year	Ethan Gologor
Niagara Frontier:	Keith Elkins Sig Synnestvedt	2 Years 1 Year	Reuben Garner
Northeast:	Robert Congemi Charles Fox	1 Year 2 Years	Carolyn Forrey
Statewide Programs:	**George Bragle Virginia Lester	1 Year 2 Years	Shelly Halpern
At-Large-Senators:	Ken Abrams Robert Carey Lois Lamin Kathryn Yatrakis	2 Years 1 Year 2 Years 1 Year	George Drury
SUNY Senator:	Scheffel Pierce		
Ex-Officio:	James W. Hall		Ronald Corwin

*Chair
**Secretary

STANDING COMMITTEES

Academic Personnel:

	<u>Member</u>	<u>Term</u>	<u>Alternate</u>
Genesee Valley:	Robert Seidel	2 Years	William Cirocco
Labor Studies:	Joel Shufro	1 Year	
Long Island:	Gary Goss	1 Year	Fred Siegel
Lower Hudson:	Rhoda Miller	1 Year	Hy Hoffman
Metropolitan New York:	Susi Bloch	1 Year	Joseph Goldberg
Niagara Frontier:	Reuben Garner	1 Year	Robert Rodgers
Northeast:	Sharon Villines	2 Years	Sylvain Nagler
Statewide Programs:	*Ken Abrams	2 Years	Forest Davis
Presidential Liaison:	John Jacobson		

Academic Policy And Learning Programs

Coordinating Center:	Maxine Bernstein	2 Years	Roger Trumbore
Genesee Valley:	*Joe Garbarino	1 Year	Judy Krom
Long Island	Elizabeth Steltenpohl	1 Year	Fred Siegel
Lower Hudson:	Lois Muzio	2 Years	Jay Gilbert
Metropolitan New York:	Jogues Egan	2 Years	Frederica Daly
Niagara Frontier:	Robert Rodgers	1 Year	John Burke
Northeast:	Angela Li-Scholz	1 Year	
Statewide Programs:	Marlene Evans	2 Years	Scheff Pierce
Presidential Liaison:	John Jacobson		

Budget:

Coordinating Center:	Al Rickard	1 Year	
Genesee Valley:	*Lloyd Lill	2 Years	Ken Cohen
Long Island:	Don Park	1 Year	Nathan Brod
Lower Hudson:	Gerry Sircus	1 Year	Ashton Thumm
Metropolitan New York:	Ethan Gologor	2 Years	Bernard Stern
Niagara Frontier:	Tom Dehrer	1 Year	John Burke
Northeast:	Mike Pluxer	1 Year	
Statewide Programs:	Joe Pittelli	2 Years	Scheff Pierce
Presidential Liaison:	Roger Trumbore		

Professional Personnel:

	*Robert Barylski	2 Years	
	Vincia Carlstrom	2 Years	
	Al Serling	2 Years	
	Marty Thorsland	2 Years	
	Ellen Wayman	2 Years	
Presidential Liaison:	Roger Trumbore		

Student Life:

	<u>Member</u>	<u>Term</u>	<u>Alternate</u>
Coordinating Center:	Frank Rader	1 Year	
Genesee Valley:	*Margaree Champion	1 Year	Judy Krom
Long Island:	Jane Shipton	1 Year	Nathan Brod
Lower Hudson:	Jeanie Davis	2 Years	Hy Hoffman
Metropolitan New York:	Randy Reiter	2 Years	Bernard Flynn
Niagara Frontier:	Rose Nawko	2 Years	Sally Spencer
Northeast:	Mickie French	2 Years	Peter Pollak
Statewide Programs:	Reed Coughlan	2 Years	John Spissinger
Presidential Liaison:	John Hall		

*Chair

APPENDIX IIC
ADMINISTRATIVE COUNCIL

James W. Hall, President
James D. Bateman, Assistant Vice President for Administration
Mary Ann Biller, Dean, Lower Hudson Regional Learning Center
Arthur W. Chickering, Vice President for Policy Analysis and Evaluation
Ronald D. Corwin, Executive Vice President
George Dawson, Acting Dean, Long Island Regional Learning Center
William R. Dodge, Dean, Center for State-wide Programs
William Goode, Associate Dean, Center for Labor Studies
Oscar Goodman, Acting Dean, Metropolitan New York Regional Learning Center
John Hall, Dean, Student Services
John Jacobson, Vice President for Academic Affairs
William Laidlaw, Dean, Genesee Valley Regional Learning Center
Ernest G. Palola, Assistant Vice President for Research and Evaluation
Robert Pasciullo, Assistant Vice President for Learning Resources
George Schlekot, Dean, Northeast Regional Learning Center
Sig Synnestvedt, Dean, Niagara Frontier Regional Learning Center
Roger Trumbore, Vice President for Administration

APPENDIX IID
ADMINISTRATIVE CABINET

James W. Hall, President
Arthur W. Chickering, Vice President for Policy Analysis and Evaluation
Ronald D. Corwin, Executive Vice President
John Jacobson, Vice President for Academic Affairs
Ernest G. Palola, Assistant Vice President for Research and Evaluation
Roger Trumbore, Vice President for Administration

APPENDIX IIIA
PERFORMANCE REVIEW AND EVALUATION

(Confidential When Completed)

Date _____

Name _____ Position Title _____

Date of Employment _____ Date Assigned
Present Position _____

Date of Performance Evaluation _____ Date Assigned to
this Appraiser _____

Social Security No. _____ Campus
Address _____

INSTRUCTIONS FOR COMPLETING PERFORMANCE EVALUATION - PARTS 1 AND 2

General Guidelines:

1. The fundamental intent of the performance appraisal is to: define accurately and objectively the level of performance of an employee with specific emphasis on the performance program that was established and agreed upon at the beginning of the evaluation period; evaluate the employee's performance for a specific period of time; apprise the employee of where he/she stands and insure that he/she is aware of what is expected of him/her; indicate how he/she may best improve himself/herself for the successful attainment of University needs; serve as a guide to re-evaluate job functions; and, finally, be used in consultation by higher level administrators on the performance and progress of each employee.
2. How to Complete Part 1
 - a. Review carefully all the criteria listed on this form.
 - b. Indicate the extent to which the employee has effectively satisfied the requirements of each category by placing a check in the appropriate box.
 - c. You are expected to evaluate the employee only for the period he/she has been under your direct supervision and only on those criteria which are applicable to his/her position.
3. How to Complete Part 2
 - a. Give a brief description of the elements in the performance program stressed during the period evaluated. If any changes, additions or deletions were made to the performance program during this period indicate such adjustments in this part.
 - b. The narrative summary evaluation is to serve two purposes: 1) all ratings of "Inadequate" and "Excellent" must be supported or examples illustrating these ratings must be given; 2) if the supervisor feels that supplemental material is necessary to convey an adequate impression of the employee's performance, such material is to be presented in this section.
4. On the basis of Parts 1 and 2, place a check in the appropriate box for "Overall Job Performance."

Date form and sign your name.

Review all evaluation forms with your supervisor.

Review the performance evaluation with the employee and explain your evaluation.

Have employee sign and date the evaluation form.

Send form to your supervisor for his signature.

Degrees of Performance: Definitions

1. Inadequate: Ranges from wholly inadequate to slightly less than satisfactory.
2. Adequate: Meets minimum requirements and is characterized neither by deficiency nor proficiency.
3. Average: Desired results are being produced in a very acceptable manner.
4. Outstanding: Above average performance.
5. Excellent: Characterized by work that is clearly superior to that normally expected of employees.

Performance Evaluation:

Considering all factors, check the category in the "Degrees of Performance" which best describes the employee's performance during the past period. All items must contain either a rating or an indication (N/A) if not applicable.

1. Effectiveness in Fulfilling Objectives: Quality and quantity of work; capable of developing new methods for improved operation; has ability to use resources effectively.
2. Productivity: Effectively plans and organizes work; attains goals on a timely basis; responsive to need for extra work.
3. Professional Knowledge and Ability: Keeps abreast of new and changing techniques and concepts; exercises professional, scientific or technical skills; develops and interprets policies and procedures.
4. Motivation: Accepts responsibility and initiates action; is willing to accept mundane as well as pleasant assignments; attempts to attain or maintain excellence in performance.
5. Effective Decision-Making: Exemplifies practical and innovative judgment in meeting work problems; has ability to make sound evaluations in various and diverse situations.
6. Adaptability: Has ability to adjust to new and different job-related requirements on a timely basis as not to inhibit the normal functions of the office or department; has ability to effectively deal with crises; is cooperative under stressful as well as pleasant circumstances.
7. Supervisory Competence: Is able to delegate responsibility; works compatibly with peers and superiors; is able to communicate effectively orally and in writing; demonstrates leadership ability.
8. Effort Toward Self-Improvement: As demonstrated by continuing education, participation in professional organizations, enrollment in training programs, research, attainment of degrees, licenses, honors, reputation in field.
9. Effectiveness in University Service: As demonstrated by successful committee work, participation in local campus and University governance, etc.

Degrees of Performance :

Inadequate	Adequate	Average	Outstand.	Excellent

Narrative Summary Evaluation of Part 1

A. Elements of Performance Program and Other Assignments or Changes Stressed During Period of Evaluation:

B. Summary Evaluation:

Satisfactory	☐	Results achieved far exceed requirements of job.
	☐	Results achieved consistently exceed requirements of job.
	☐	Results achieved exceed requirements of the job at times.
	☐	Results achieved generally meets requirements of job.
Unsatisfactory	☐	Results achieved often do not meet requirements of the job.
	☐	Results achieved generally do not meet requirements of the job.

Signature of Immediate Supervisor

Date

I have reviewed this document with my supervisor. My signature means I have been advised of my performance and does not imply that I agree or disagree with this evaluation.

Signature of Employee

Date

I have reviewed this document and agree with it except as noted on the back of this sheet.

Signature of Second Line Supervisor

Date

APPENDIX IIIB
INSTRUCTIONS FOR PREPARING PERFORMANCE PROGRAM

Part I: Write a job description for the position in which the employee is being evaluated using a list format and general terms. This list need not be all inclusive but should cover all of the major responsibilities of the job. (All job descriptions should contain the statement "Such other duties as assigned".)

- Examples:
1. Responsible for the day to day operation of the Zap Lab including maintenance of all equipment, preparation and set up of lab for scheduled classes and assistance to student and faculty in use of equipment.
 2. Maintains inventory of equipment in Zap Lab and orders new or replacement equipment as required to meet the teaching and research programs of the Zapology Department.
 3.

Part II: Define the place of this employee in the department organization either by listing supervisor(s) of this employee and subordinates or by an organization chart.

Part III: List the major offices or people outside the department that this employee must maintain close working relationships with.

Part IV: Define in detail specific objectives within the general job description that should be achieved in the time period covered by the program and more general long-range objectives to be started or developed.

Examples: Short-range

1. Develop a perpetual inventory system of lab equipment including automatic reorder of expendable items.
2. Prepare outline of lab procedures manual to be submitted to department chairman for review and approval by _____ (date) _____.
3.

Long-range

1. Complete final lab procedures manual.
2. Work toward more efficient scheduling to better utilize Zap Lab for faculty and graduate student research.
3.

Note: Both long and short-range objectives usually relate closely to the commentary in the evaluation of the employee for the previous period.

Part V: List secondary sources (if any) that may be consulted in preparing the evaluation. List should be general in nature.

- Examples:
1. Faculty in Zapology Department.
 2. Graduate Students in Advanced Zapology Procedures and Zap Meter Measurements.

After preparation of the program, the supervisor and the employee must review the program together, resolving areas of misunderstanding or disagreement, if any. Both must then sign the form.

Any change in the Performance Program during the period to be evaluated must be modified on this form and acknowledged by both parties.

One copy will be retained by the supervisor.

One copy will be sent to the Personnel Office to be placed in the employee's file.

One copy will be given to the employee.

STATE UNIVERSITY OF NEW YORK -- EMPIRE STATE COLLEGE

PERFORMANCE PROGRAM

DATE _____ NAME _____ TITLE _____

Period of time covered by this program: _____

Evaluation Date: _____

I. Duties: (List major duties of job in general terms)

II. Supervisory Relationship: (1. Who supervises this employee?
2. Who does this employee supervise?)

III. Functional Relationship: (primary offices this person works with)

IV. a. Specific objectives for this period:

b. Long term objectives:

V. Secondary sources to be consulted:

Signature of Supervisor _____ Date _____

Signature of Employee _____ Date _____

APPENDIX IIIC
ADJUNCT CONTRACT FORM

THIS AGREEMENT, made this ____ day of _____,
197 , by and between the STATE UNIVERSITY OF NEW YORK, an
educational corporation organized and existing under the laws
of New York, with its principal place of business located at
99 Washington Avenue, Albany, New York 12210, hereinafter
referred to as "State University", acting for and on behalf
of Empire State College, Saratoga Springs, New York 12866,
hereinafter referred to as "Empire State", and _____
_____, an individual residing at _____
_____, hereinafter referred to as "Tutor".

W I T N E S S E T H:

WHEREAS, State University requires the services of
a Tutor at Empire State; and

WHEREAS, the above named is highly qualified to
provide such service, under the following terms and conditions;
and

WHEREAS, the parties desire to enter into an agreement
whereby the above named shall provide specified service for a
limited time at Empire State,

NOW, THEREFORE, in consideration of the mutual
covenants and conditions herein set forth, the parties hereto
agree as follows:

1. The Tutor shall provide the services specified
in Exhibit B, attached hereto and made a part hereof. Such
services shall continue throughout the term of this agreement,
and shall include related activities necessary to carry out
the terms of this agreement.

2. The term of this agreement shall commence on
_____, 19__, and shall continue through _____, 19__.
This contract may be extended upon mutual agreement of the
parties, in writing, upon the same conditions, or upon such
conditions as may be further agreed upon.

3. In consideration of the above, State University shall pay _____ the total sum of _____ (\$ _____). Such sum shall be paid in equal monthly installments throughout the term of this agreement.

4. The Tutor shall perform services under this contract under the supervision, direction and control of State University, and shall conform his working schedule with the then effective Empire State academic schedule. In no event, however, is the Tutor to be considered an employee of State University or of the State of New York as the result of the relationship between the parties hereto under this agreement.

5. It is understood between the parties that the Tutor will not be performing research services for State University. It is therefore further understood that as long as there is no use of State University's facilities for research purposes by the Tutor, any material conceived or developed shall belong to the Tutor. However, State University shall have the right to publish any information, conclusions or developments resulting from the Tutor's activities at Empire State.

6. In the event that, for any reason, the Tutor is unable to perform under this contract for a period of more than one (1) month, State University shall have the option of terminating this agreement by notice to the Tutor in writing. In the event of such termination, the Tutor shall be paid for actual time service was rendered hereunder, on a pro rata basis, after which payment State University shall have no further liability to the Tutor.

7. It is understood that this agreement is intended to secure the personal services of the named Tutor, because of his special ability and expertise, and that the agreement shall not be assigned in whole or in part by either party hereto without the prior consent in writing of the other.

8. The relationship of a Tutor to the State University, Empire State, and the State of New York, arising out of this agreement, shall be that of independent contractor.

9. State University reserves the right at any time during the performing of this agreement to omit any portion of the work as may be deemed reasonably necessary without constituting grounds for any claim by the Tutor for allowances for damages. If such change or alteration results in a reduction of the work covered by this agreement, a proportionate deduction shall be made from the consideration herein.

10. State University reserves the right to modify or change this agreement by supplement thereto providing for additional work in order to carry out and complete more fully the services called for herein. If such changes or modifications result in an increase in the work covered by this agreement, the consideration shall be proportionally increased.

11. Any notice to either party hereto must be in writing, signed by the party giving it, and shall be served either personally or by registered mail addressed as follows:

TO STATE UNIVERSITY:

Vice Chancellor for Finance and Business
State University of New York
99 Washington Avenue
Albany, New York 12210

and also a copy to:

Vice President for Administration
Empire State College
State University of New York
Saratoga Springs, New York 12866

TO _____:

or to such other addressee as may hereafter be designated by notice. All notices become effective when received by the addressee.

12. This agreement constitutes the entire agreement of the parties hereto and all previous communications between the parties, whether written or oral, with reference to the subject matter of this contract are hereby superseded.

13. The provisions of Exhibit A, to the extent applicable under this contract, shall be binding on the Tutor, and are hereby incorporated into this agreement.

IN WITNESS WHEREOF, the parties hereto have executed this agreement the day and year first above written.

STATE UNIVERSITY OF NEW YORK

By _____
Vice Chancellor for
Finance and Business

By _____

Approved by EMPIRE STATE COLLEGE

By _____

Approved as to form

Date _____

LOUIS J. LEFKOWITZ
Attorney General

By _____
Asst. Attorney General

Approved and filed

Date _____

ARTHUR LEVITT
State Comptroller

By _____
for the comptroller

Exhibit " A "

Page 1 of 3

I. So far as concerns the obligations of the State University hereunder, this agreement shall be deemed executory only to the extent of monies available to State University and no liability shall be incurred by the State University or the State of New York beyond the monies available for the purposes hereof.

II. Contractor shall not assign, transfer or convey this agreement or any part thereof or any interest therein without the consent in writing of the State University.

III. The agreement shall be void and of no force and effect unless the contractor shall provide coverage for the benefit of, and keep covered during the life of this agreement, such employees as are required to be covered by the provisions of the Workmen's Compensation Law.

IV. Purchases by the State of New York are not subject to any sales or Federal excise taxes. Exemption certificates will be furnished upon request. New York State is also exempt from the transportation tax; no exemption certificates are required for this tax. There is no exemption, however, for social security, unemployment insurance and like taxes.

V. During the performance of this contract, the contractor agrees as follows:

(a) The contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, age or national origin, and will take affirmative action to insure that they are afforded equal employment opportunities without discrimination because of race, creed, color, sex, age or national origin. Such action shall be taken with reference, but not be limited to: recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff or termination, rates of pay or other forms of compensation, and selection for training or re-training, including apprenticeship and on-the-job training.

(b) The contractor will send to each labor union or representative of workers with which he has or is bound by a collective bargaining or other agreement or understanding, a notice, to be provided by the Division for Human Rights, advising such labor union or representative of the contractor's agreement under clauses (a) through (g) (hereinafter called "non-discrimination clauses"). If the contractor was directed to do so by the contracting agency as part of the bid or

Exhibit " A "

Page 2 of 3

negotiation of this contract, the contractor shall request such labor union or representative to furnish him with a written statement that such labor union or representative will not discriminate because of race, creed, color, sex, age or national origin and that such labor union or representative either will affirmatively cooperate, within the limits of its legal and contractual authority, in the implementation of the policy and provisions of these non-discrimination clauses or that it consents and agrees that recruitment, employment and the terms and conditions of employment under this contract shall be in accordance with the purposes and provisions of these non-discrimination clauses. If such labor union or representative refuses to comply with such a request that it furnish such a statement, the contractor shall promptly notify the Division for Human Rights of such failure or refusal.

(c) The contractor will post and keep posted in conspicuous places, available to employees and applicants for employment notices to be provided by the Division for Human Rights setting forth the substance of the provisions of clauses (a) and (b) and such provisions of the State's laws against discrimination as the Division for Human Rights shall determine.

(d) The contractor will state, in all solicitations or advertisements for employees placed by or on behalf of the contractor, that all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, sex, age or national origin.

(e) The contractor will comply with the provisions of Sections 291-299 of the Executive Law and the Civil Rights Law, will furnish all information and reports deemed necessary by the Division for Human Rights under these non-discrimination clauses and such sections of the Executive Law and will permit access to his books, records and accounts by the Division for Human Rights, the Attorney General and the Industrial Commissioner for purposes of investigation to ascertain compliance with these non-discrimination clauses and such sections of the Executive Law and Civil Rights Law.

(f) This contract may be forthwith cancelled, terminated or suspended, in whole or in part, by the contracting agency upon the basis of a finding made by the Division for Human Rights that the contractor has not complied with these non-discrimination clauses, and the contractor may be declared ineligible for future contracts made by or on behalf of the State or a public authority or agency of the State, until he satisfies the Division for

Exhibit " A "

Page 3 of 3

Human Rights that he has established and is carrying out a program in conformity with the provisions of these non-discrimination clauses. Such finding shall be made by the Division for Human Rights after conciliation efforts by the Division have failed to achieve compliance with these non-discrimination clauses and after a verified complaint has been filed with the Division, notice thereof has been given to the contractor and an opportunity has been afforded him to be heard publicly before three members of the Division. Such sanctions may be imposed and remedies invoked independently of or in addition to sanctions and remedies otherwise provided by law.

(g) The contractor will include the provisions of clauses (a) through (f) in every subcontract or purchase order in such a manner that such provisions will be binding upon each subcontractor or vendor as to operations to be performed within the State of New York. The contractor will take such action in enforcing such provisions of such subcontract or purchase order as the contracting agency may direct, including sanctions or remedies for non-compliance. If the contractor becomes involved in or is threatened with litigation with a subcontractor or vendor as a result of such direction by the contracting agency, the contractor shall promptly so notify the Attorney General, requesting him to intervene and protect the interests of the State of New York.

Exhibit B

Name of Appointee _____

Description of Duties:

Number of students that will be served by appointee _____.

APPENDIX IIID
APPLICATION FOR LEAVE, OFF-CAMPUS ASSIGNMENTS,
CONSULTING AND OTHER EMPLOYMENT

NAME: _____

CENTER: _____

In accordance with the College's Policy on Leaves, Off-Campus Assignments, Consulting and Other Employment, which I have read and understand, I hereby request:

_____ Vacation leave	from: _____ to _____
_____ Leave with pay (complete 1 below and attach statement outlining professional activities while engaging in such assignment)	from: _____ to _____
_____ Permission to engage in consulting activities (Complete 1, 2, and 3 below)	from: _____ to _____
_____ Permission to engage in other employment	from: _____ to _____

1. Anticipated supplemental earned income* while engaged in the above noted activity: \$ _____
(total gross amount)
2. Anticipated time to be expended on this activity during the above noted period: _____
3. Name of organization and/or client(s) to be served (check and identify by name)

*When consultation activity involves direct, compensated service to another New York State agency, a prior approved for UP-6 must be attached to this application.

(signature)

(date)

_____ approved _____ disapproved

(signature & date, Dean or Unit Head)

_____ approved _____ disapproved

(signature and date, President)

Empire State College
State University of New York

APPENDIX IIIE
PROFESSIONAL DEVELOPMENT PLAN SUMMARY

Name _____

For the period from _____ to _____

Professional Development Activities to be undertaken:

Anticipated Results of Professional Development Activities:

(continue on back if necessary)

(Signature of staff or faculty member)

(Signature of Dean, Director or Supervisor)

(Date)

(Date)

APPENDIX IIIF
APPLICATION FOR SABBATICAL LEAVE

Response to each of the items in the application is required by *Policies of the Board of Trustees*, Article XIII, Paragraph 5.

1. Amount of supplementary income to be received while on leave _____
(if none, write none)
2. Outline of program to be followed while on leave:

(continue on back if necessary)

3. I intend to continue as a member of the faculty upon my return, and I further agree to submit a report of my accomplishments while on leave to the President of Empire State College upon my return.

(Date)

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(Signature)

APPENDIX III G
INTERIM APPLICATION FOR PROFESSIONAL REASSIGNMENT

1. Outline of program to be followed while on professional reassignment.

2. List prior leaves with dates, and specify reassignments. Annual leave need not be included, but unpaid leave should be.

3. Specify earlier projects for leave and any accomplishments.

(continue on back if necessary)

4. I intend to continue as a member of the faculty upon my return, and I further agree to submit a report of my accomplishments while on professional reassignment to the Dean, Director, or Supervisor of my Unit.

(Date)

(Signature)